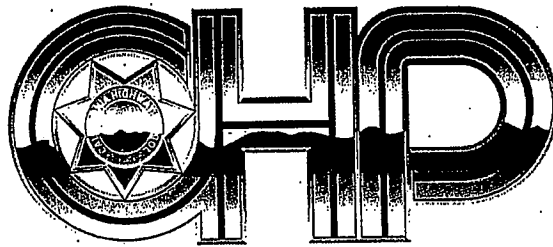


DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

VALLEY DIVISION OVERTIME AUDIT



FINAL REPORT

OCTOBER 2006

BUSINESS, TRANSPORTATION AND HOUSING AGENCY

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

VALLEY DIVISION OVERTIME AUDIT

OFFICE OF INTERNAL AFFAIRS

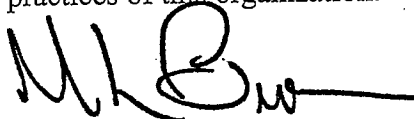
OCTOBER 2006

FOREWORD

It is clear by the contents of this audit report; there was a serious and unacceptable deviation from departmental policies and practices relative to overtime usage within Valley Division. I am also very concerned that Valley Division management never attempted to clarify or rescind the electronic message which condone "... to use as much paid overtime as they [employees] want between now and June 30th." In addition, the response from Valley Division fails to address other issues identified in the report to include the proper use of overtime by certain classifications.

As such, I have directed Assistant Commissioner, Field's office, which has oversight of field operations, to conduct an immediate internal investigation to determine the culpability of individual employees. To ensure processes are in place to prevent future occurrences, I am requesting the Office of Internal Affairs, Audit and Evaluations Unit to conduct a follow-up to its findings and recommendations. It is paramount to the public trust that assets entrusted to this organization are administered effectively and efficiently.

In conclusion, this departmental audit report concerning Valley Division overtime practices has received final official approval from Executive Management. As such, this office has adopted the report's findings and recommendations and directed the aforementioned follow-up by Assistant Commissioner, Field's office, to ensure compliance with long standing business practices of this organization.



M. L. BROWN
Commissioner

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EXECUTIVE SUMMARY

On July 13, 2006, the Office of the Commissioner directed the Office of Internal Affairs (OIA), Audits and Evaluation Unit, to perform an audit of Valley Division overtime usage. This request was initiated as the result of an electronic message being sent on June 14, 2006, from the Division overtime coordinator to all Valley Division Area commands. The message stated the Division commander had authorized non-uniform employees, "... to use as much overtime as they wanted between now and June 30th."

An audits and evaluation team was assembled and performed an examination of Valley Division's non-uniform overtime. The dates listed in the electronic message, June 14-30, 2006, were considered the audit scope time frame. It was determined limiting the audit to this period would permit a timely response relative to how overtime was managed and utilized. At the conclusion of the initial audit process, it was determined the period of the audit should be expanded to include the last quarter of FY 2005/2006. This was the result of overlapping pay periods and would allow a more accurate assessment of the utilization of non-uniform overtime.

Valley Division is one of eight field Divisions, which reports directly to the Department's Assistant Commissioner, Field, and consist of 18 individual Area commands. Division and Area operations report to a Division Commander who is accountable for Division operations. The primary objective of the audit was to determine if overtime was appropriately utilized during the period being examined. The audits and evaluation team reviewed reconciliation reports and over 700 attendance records provided by Personnel Management Division (PMD) and Valley Division. During the fourth quarter of FY 2005/2006, approximately 11,972 overtime hours and approximately 2,172 compensatory time off (CTO) were claimed by Valley Division non-uniform personnel. The majority of overtime was utilized by Public Safety Dispatchers, Motor Carrier Specialists, and Commercial Vehicle Inspection Specialists related to public safety issues. The remaining overtime was utilized by other classifications for critical support functions of field operations. For a specified period, Division submitted detailed justifications for the utilized overtime. These justifications and a review of attendance records indicated the overtime was authorized and approved. However, the audit revealed a number of findings.

The primary finding was the failure to manage the \$600,000 reserve, which was set aside at the beginning of the FY and not discovered until May 2006. Setting aside a reserve is a common practice within the Department to address critical events such as natural disasters. However, as the result of this oversight, Valley Division made additional allocation requests of \$163,100 for a total of \$763,100, which was provided in May 2006, which further compounded the excess reserve. In May 2006, a new non-uniform overtime coordinator discovered the remaining amount of \$600,000, and apprised the Valley Division command staff. An effort was initiated to use these funds prior to the end of the FY to support the primary mission of the organization; however, the time remaining to administer these funds was limited.

The second finding correlated to the simultaneous use of leave credits while claiming overtime. This occurred when a non-uniform employee used leave credits during their normal work hours, but then claimed overtime for the same period. Although it did not appear to be widespread throughout the Division, it appeared to be a common practice within some offices. During the month of June 2006, this represented only 13 percent of the total overtime claimed, but rose

dramatically after the June 14, 2006, electronic message was sent to Area commands. As stated, during the fourth quarter of the FY, a combined use of leave credits was utilized in conjunction with claimed overtime. The following amount of leave credits were used in conjunction with overtime: April 2006 - 215.25 hours; May 2006 - 188.5 hours; and June 1 through 24, 2006 - 629 hours. This simultaneous use of leave credits and overtime is in violation of Government Code Section 19851, which requires the state to avoid the necessity for overtime work whenever possible. Furthermore, this is a violation of departmental policies and procedures, and defeats the purpose of using overtime to supplement resources to meet critical needs.

The third and final finding was limited to four non-uniform personnel using a combination of leave credits and overtime, which exceeded the 24-hour workday. The audits and evaluation team also made other observations and these matters are discussed further in this audit report. These initial observations, which at the onset appeared to be discrepancies, were ultimately not an issue or were already resolved. There may be cause for further examination of employees who worked overtime, but worked an unusual number of overtime hours during the final two weeks of the FY.

On September 14, 2006, Valley Division was provided a draft of the audit report for review. On October 6, 2006, Valley Division provided a response, see Annex E. It should be noted certain employee identifying information has been redacted to protect the confidentiality of specific employees. Based on a review of the response, it was determined the findings and recommendations remain as stated in this audit report.

FINDINGS AND RECOMMENDATIONS

FINDING 1

Overtime management.

Condition:

Valley Division inadequately managed the overtime allocation in FY 2005/2006. At the beginning of the FY, a reserve in the amount of \$600,000 was set aside. The money was not reconciled on a monthly basis, consequently, the reserve was overlooked and not discovered until May 2006. Unaware of the funds, Valley Division requested an additional allocation of \$163,100.

Criteria:

Proper overtime management and best business practice.

Recommendation:

Valley Division should implement a spending plan outlining how the allotted funds should be expended throughout the year. The spending plan should be reconciled monthly and approved by the Valley Division commander.

FINDING 2

Improper use of leave credits.

Condition:

Supervisors approved the use of leave credits to allow non-uniformed employees to claim overtime during the same period. Leave credits are Informal Time Off (ITO), sick leave, CTO and vacation. It should be noted ITO is a non-compensable leave credit and cannot be used to constitute a workday. Additionally, Bargaining Unit (BU) 7 specifically prohibits the use of sick leave hours to constitute a workday.

Criteria:

California Government Code Section 19851 requires the state to avoid the necessity for overtime work whenever possible.

Recommendation:

Valley Division should adhere to departmental policies and implement controls to ensure leave credits are not used in conjunction with overtime.

FINDING 3

Attendance reporting/24-hour workday.

Condition:

The use of leave credits and overtime claimed totaled more than 24-hours in a workday. The combination of leave credit hours and overtime claimed totaled 25 and 26 hours in a 24-hour period for some employees.

Criteria:

The 24-hour workday must be observed for attendance reporting.

Recommendation:

Valley Division should adhere to departmental policies and implement controls to ensure the 24-hour workday is not exceeded.

INTRODUCTION AND OVERVIEW

Introduction

On July 13, 2006, the Office of the Commissioner directed the Office of Internal Affairs, Audits and Evaluation Unit, to perform an audit of Valley Division overtime usage. This request was initiated as the result of an electronic message sent from the Division overtime coordinator to all Valley Area commands. The message stated the Division commander had authorized non-uniform employees, "... to use as much overtime as they wanted between now and June 30th." As the result, Commissioner M. L. Brown requested an audit of the overtime claimed by non-uniformed personnel within Valley Division for the fourth quarter of Fiscal Year (FY) 2005/2006.

Scope

In an effort to evaluate how Valley Division managed overtime and to determine in what manner non-uniform personnel claimed overtime during the fourth quarter of FY 2005/2006, the following was reviewed:

- Departmental overtime accounting and reporting processes.
- Funding sources used by Valley Division during the fourth quarter of FY 2005/2006.
- Departmental reports of overtime payments.
- Departmental reports of leave credits used by non-uniform employees.
- Eligibility for the non-uniformed employees to claim overtime from funding source.
- Justification for non-uniformed employees to use overtime.
- Applicable Bargaining Unit contracts.
- State statutes and departmental policies.
- Verification of overtime claimed by employees and paid by the Department.

Methodology

The parameters of the Valley Division overtime audit were specific to non-uniformed personnel and the fourth quarter of FY 2005/2006. The audit required an in-depth review of departmental overtime policies and procedures, BU contracts between the state and represented employees, and applicable state statutes. Departmental reports were reviewed to verify the use of leave credits and overtime claimed. Additionally, in an effort to determine the administrative processes within Valley Division, personnel currently assigned to Valley Division were interviewed. Valley Division, as with all Divisions within the Department, submit their monthly attendance reports to Personnel Management Division for processing. These attendance reports were reviewed to determine and validate if the overtime claimed was appropriate, satisfied an operational need, and within policy. To validate the operational need, Valley Division commands were asked to provide written justification for a specified period.

The overtime claimed and leave credits used were reconciled to the Management Information Retrieval System (MIRS) report. The MIRS report reconciliation validated the attendance

reports. However, due to the Fair Labor Standards Act (FLSA) pay-period carry-over effect, the March to April and June to July carryover hours were not verified. Although vacation schedules were not reviewed, it was noted CTO and other leave credits were commonly used to constitute a workday while overtime was earned during the same period.

Within this audit report, a "Finding" is any significant and material deviation from state statute and/or policy. Results meeting these criteria were documented in the Findings and Recommendations section of this report. Issues identified outside of the scope of this audit are documented within the Discussion and Recommendations section.

Overview

Assistant Commissioner, Field, has oversight command of the field operations. Valley Division is one of eight field Divisions in the state and is commanded by a chief who is accountable for Division operations. Valley Division is divided into 18 Area commands, a captain or lieutenant serve as the commander for each Area. Non-uniformed personnel provide a variety of support duties within each command.

As a Department, the California Highway Patrol has a number of processes in place for the administration of overtime. Specifically, each year, the Budget Development Unit provides Assistant Commissioner, Field, with the overtime allocation for field operations. Assistant Commissioner, Field, then provides each Division their allocation based on operational needs. It is then the Division commander's responsibility to administer these funds throughout the FY. The Department requires monthly reporting of overtime usage. Additionally, the State Controller's Office provides the Department with a monthly expenditure report.

By policy, employees are not authorized to work overtime unless ordered by their supervisor. Additionally, a supervisor shall not allow an employee to work overtime without prior authorization and shall take steps to prevent unauthorized overtime from being worked. With non-uniform personnel, the commander of each office approves the attendance report at the end of each month. It is the responsibility of each command to track and monitor their overtime usage and balances. Any deviation from policy is authorized by the Office of the Commissioner and is communicated thorough official communications (e.g., Comm-Net and/or Management Memorandums).

As indicated by Valley Division personnel during the interviews, a \$600,000 overtime reserve for FY 2005/2006 was set-aside at the beginning of the year. This reserve was intended to ensure funding availability throughout the FY. Due to personnel turnover, the funds were overlooked. In May 2006, a staff services analyst discovered the funds and notified Valley Division management. Supporting this oversight was the fact Valley Division made two requests for additional funds. Due to these requests, an additional \$163,100 was allocated in May 2006, for a combined total of \$763,100.

DISCUSSION AND RECOMMENDATIONS

Discussion

The audit included a review of applicable Bargaining Unit (BU) contracts, state statutes, and departmental policy. The following provides a listing:

- The California Government Code Section 19851, defines a regular workday and workweek and states, "It is the policy of the state to avoid the necessity for overtime work whenever possible. This policy does not restrict the extension of regular working-hour schedules on an overtime basis in those activities and agencies where it is necessary to carry on the state business properly during a manpower shortage."
- The California Labor Code Section 510, regulates what constitutes a workday and workweek and the provision for overtime regarding work in excess of that required for a workday and workweek. The impetus of Assembly Bill 60, *Eight-Hour Day Restoration and Workplace Flexibility Act of 1999*, was to restore daily overtime in California. Specifically, to outline the requirement for overtime pay after eight hours (or an alternate work week schedule such as 4/10, 9/80, etc.) of work in a day.
- The California Code of Regulations, Title 2, Section 599.700, et seq. states, "Overtime is authorized time worked in excess of regularly scheduled workweek. Compensable overtime is ordered overtime on work which is in addition to the regular work and which meets the standards set forth in Section 599.704 for which cash compensation or compensating time off is provided."
- In California, the Department of Industrial Relations, Division of Labor Standards Enforcement (DLSE), pronounced the general overtime provisions are that a non-exempt employee shall not be employed more than eight hours in any workday, or more than 40 hours in any workweek unless compensated at one and one-half times the regular rate of pay for all hours worked over eight hours in any workday and over 40 hours in the workweek. Exempt from the DLSE overtime provision are employees covered by a valid collective bargaining agreement if the agreement expressly provides for the wages, hours of work, and working conditions, and if the agreement provides premium wage rates for all overtime hours worked.
- Bargaining Unit contracts between the state and unions representing rank and file employees. The BU contracts contain specific information regarding leave credits and what constitutes regular workday hours. Additionally, some BU contracts allow the Department to purchase CTO leave credits at the end of FY.

- California Highway Patrol Manual (HPM) 10.3, Personnel Transactions Manual, Chapter 24, Overtime, specifically paragraph 7a, states:
 - (1) Employees should not accrue overtime in the same day as scheduled leave credits are used.
 - (2) In those instances when overtime is unavoidable and is worked on the same day as leave credits are used, the number of hours of actual work shall be added to the time which an employee is excused because of sick leave, vacation/annual leave, personal leave, or CTO.
- California Highway Patrol, Office of Employee Relations (OER), Reporter Number 4, issued October 1992 (disseminated as a resource and not policy) indicates that an employee is not entitled to earn overtime while on vacation.

Introduction

The audits and evaluation team reviewed 740 monthly time sheets (CHP 71, Attendance Report), submitted by Valley Division non-uniformed personnel. As of April 1, 2006, Valley Division had 246 non-uniform employees. The CHP 71 forms reviewed were for the months of April, May, and through June 24, 2006 (June 24, 2006, is the end of the FLSA pay period). Based on the CHP 71 reports, 11,972.1 overtime hours and 2,172.5 CTO hours were claimed by Valley Division non-uniformed personnel and equated to a total of \$431,310.42. The majority of overtime was used by Public Safety Dispatchers, Motor Carrier Specialists, and Commercial Vehicle Inspection Specialists. The rest was utilized by other classifications providing support for field operations. Refer to Annex D, CHP 71, Attendance Reports for overtime breakdown by employee classification. The table below depicts the total overtime and CTO hours claimed based on the CHP 71.

	<u>April</u>	<u>May</u>	<u>June 1st - 24th</u>
Overtime	2950.75	3431.25	5590.10
CTO	946.50	731.50	494.50

Findings

Finding 1: Management of overtime funds.

Valley Division set aside a reserve of \$600,000 at the beginning of FY 2005/2006. Due to personnel turnover, Valley Division management was not informed and/or overlooked the funds. Unaware of the funds, Valley Division management requested additional funding from available resources being offered to all field Divisions. In May 2006, an additional \$163,100 was granted. Shortly thereafter, Valley Division management discovered the reserve funds. An overtime fund balance in the amount of \$763,100 towards the end of the fiscal year confirmed improper management.

A review of the overtime records indicated that from June 1-13, 2006, Valley Division non-uniformed personnel claimed 2,344.45 hours. On June 14, 2006, a non-uniformed employee sent an electronic message encouraging all non-uniform personnel to incur overtime. An increase was noted from June 14 through 24, 2006, (note: the 24th is the end of the pay period per the FLSA). During this time frame, non-uniformed personnel within Valley Division claimed 3,245.65 hours of overtime.

For comparison purposes, the fourth quarter of the 2004/2005 and 2005/2006 fiscal years attendance categories (overtime, vacation, and sick leave) were charted. The charts depict April through June and capture the total overtime claimed and the use of vacation and sick leave by non-uniformed personnel within Valley Division. Refer to Annex A, Graph, PMD Reported Attendance Categories, Fourth Quarters, FY 2004/2005 and Annex B, Graph, PMD Reported Attendance Categories, Fourth Quarters, FY 2005/2006.

Valley Division's response states the audit report fails to discuss the events/conditions which led to the fiscal difficulties. Just as important, it omits mention and credit for the effective and dramatic steps taken by Division to improve previously inadequate budget processes long before the Audit was conceived. Although, Valley Division stated it initiated corrective actions in their fiscal accounting processes and there were a number of reasons for the failure, these actions were outside of the audit scope and therefore not reviewed. Based on a review of the response, it was determined the findings and recommendations remain as stated in this audit report.

Finding 2: Improper Use of Leave Credits.

The use of leave credits to constitute a workday or workweek, and claiming overtime simultaneously with leave credits was common. As an example, an employee claimed eight hours of vacation leave credits and claimed eight hours of overtime during the same period. Specific to BU 7, the use of sick leave to constitute a workday and/or to earn overtime is prohibited. An observation was the use of ITO with overtime claimed in the same time period. Noted was another employee who used two hours of sick leave and claimed overtime. The review of departmental records confirmed the following:

- During the month of April 2006, 215.25 hours of leave credits were used to earn overtime, this amount constitutes approximately seven percent of the total overtime claimed on this month.
- During the month of May 2006, 188.50 hours of leave credits were used to earn overtime, this amount constitutes approximately six percent of the total overtime claimed on this month.
- During the month of June 2006, 629.50 hours of leave credits were used to earn overtime, this amount constitutes approximately 13 percent of the total overtime claimed on this month.

The table below depicts the amount of leave credits used in conjunction with overtime hours claimed. A significant increase of vacation leave credits were noted in June 2006.

	<u>April</u>	<u>May</u>	<u>June 1st - 24th*</u>
CTO	140.75	88.75	168.00
Sick Leave	4.50	4.75	21.25
Vacation	70.00	95.00	439.75

*(Note: June 24th is the end of the FLSA pay period) - Source: CHP 71.

In *Annex D, CHP 71, Attendance Reports*, there are two timesheets that provide an example for this practice. It appeared shortly after the electronic message was sent to the Area commands; employees utilized leave credits, but then claimed overtime.

Valley Division's response states they provided instruction to Area commands prohibiting the use of leave credits to earn overtime. Valley Division has since provided all commands with clarification on this issue to avoid similar errors in the future. Based on a review of the response, it was determined the findings and recommendations remain as stated in this audit report.

Finding 3: Attendance Reporting/24-Hour Workday.

Four employees recorded an excess of 24-hours in one workday (leave credits and overtime claimed totaled more than 24-hours in one workday). For example, an employee used ten hours of vacation and claimed 15-hours of overtime, a total of 25-hours during the same 24-hour workday. Compensation is limited to 24-hour days. A breakdown of the four instances is two employees claimed 25 hours and two 26 hours in a 24-hour work period.

Valley Division's response states that Department-wide, Division commanders do not normally review time sheets submitted by subordinate commands, which is true. Furthermore, Division has taken steps to minimize errors and discrepancies in the future. Based on a review of the response, it was determined the findings and recommendations remain as stated in this audit report.

Other Issues

The federal grant disbursements for the fourth quarter of FY 2005/2006 totaled \$114,555. The review noted reconciliation errors between the CHP 71 and the Administrative Services Division expenditure report. The research confirmed the error was attributed to Valley Division employees not annotating the grant number on the CHP 71. This oversight by the employees did not create an additional encumbrance of grant funds.

During a preliminary review of the overtime claimed, it was noted several employees incurred a substantial amount of overtime. Following the reconciliation it was determined the employees in question had not incurred overtime hours, but in fact cashed out their CTO. State statute, departmental policy, and BUs permit CTO cash out at the end of the fiscal year. This was confirmed to have occurred with five employees, three during departmental transfers and two to lower their CTO leave balance.

Finally, there appeared isolated incidents which raised questions as to the propriety of some overtime utilized. This included two employees under the classification of custodian that were allowed to incur a substantial amount of overtime. One earned 76 hours of overtime between June 15 through 30, 2006. The other earned 95 hours from June 3 through 30, 2006. It was noted that 86 of the 95 hours was claimed after June 14, 2006. In another example, Public Safety Dispatchers were authorized overtime to clean windows and to "palletized old computers." The use of overtime in these incidents may be warranted and justified, but require further clarification. *Refer to Annex C, Payment Classification.*

Recommendations

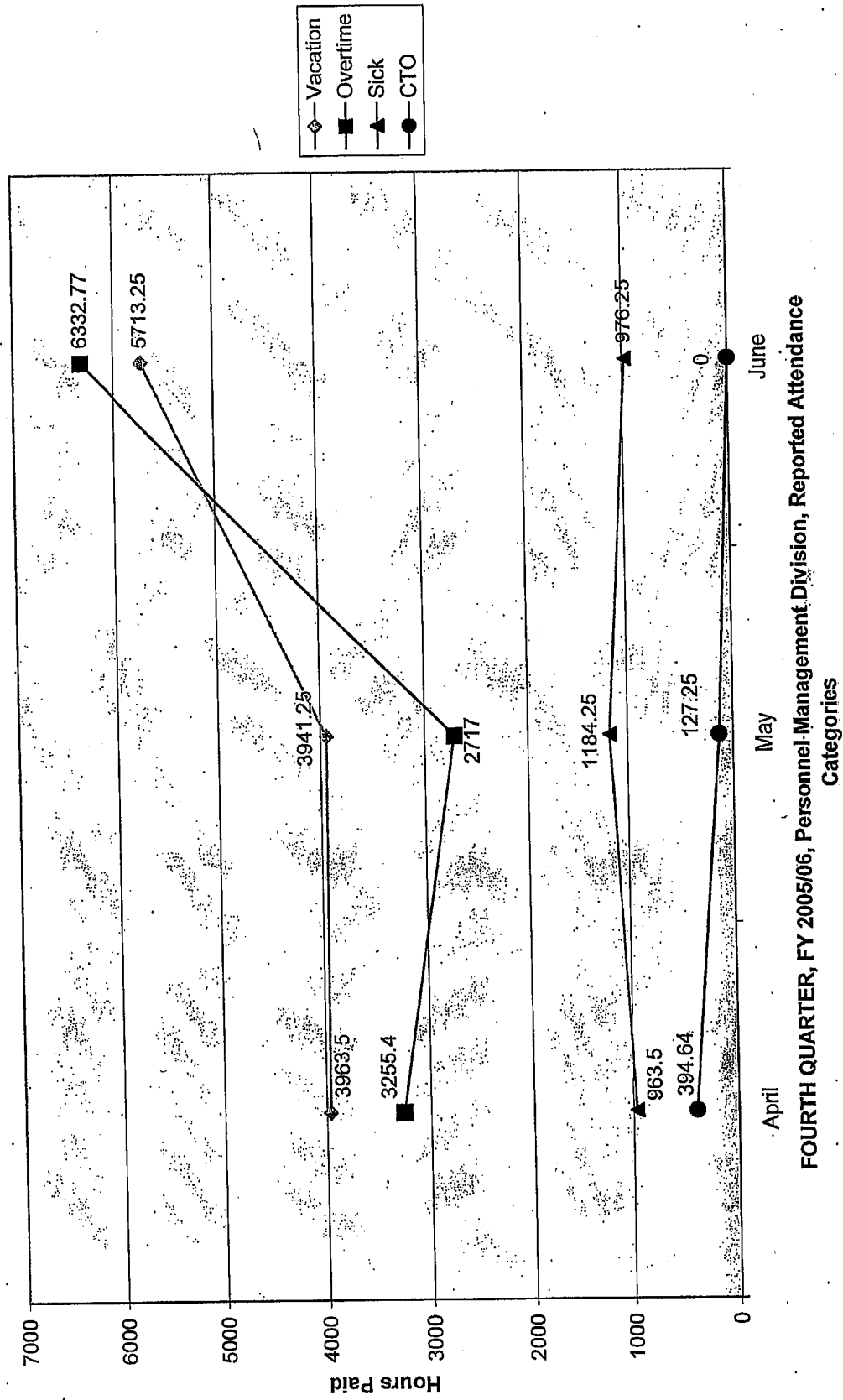
The most important recommendation is for Valley Division to have an overtime spending plan to be reconciled on a monthly basis. Additionally, supervisors and managers should not permit employees to utilize leave credits during the same period overtime is worked or use of these combinations, which exceed the 24-hour workday. Finally, it is recommended overtime and other management processes be included in the upcoming Fiscal Integrity of State Manager's Accountability audits as prescribed by the State Administrative Manual, Chapter 20000.

CONCLUSION

The audits and evaluation team performed an examination of Valley Division overtime utilized during the fourth quarter of FY 2005/2006. It identified three findings, which were in violation of specific statutes, departmental policies, and/or good business practices. These findings are primarily attributed to Valley Division personnel not acknowledging a large overtime balance until the end of the FY. As a result, there was an aggressive effort to utilize as much of this balance as possible prior to June 30, 2006. In doing so, certain commands failed to adhere to acceptable practices and allowed employees to circumvent the intent of the overtime usage. Based on a review of the response, it was determined the findings and recommendations remain as stated in this audit report.

ANNEX A

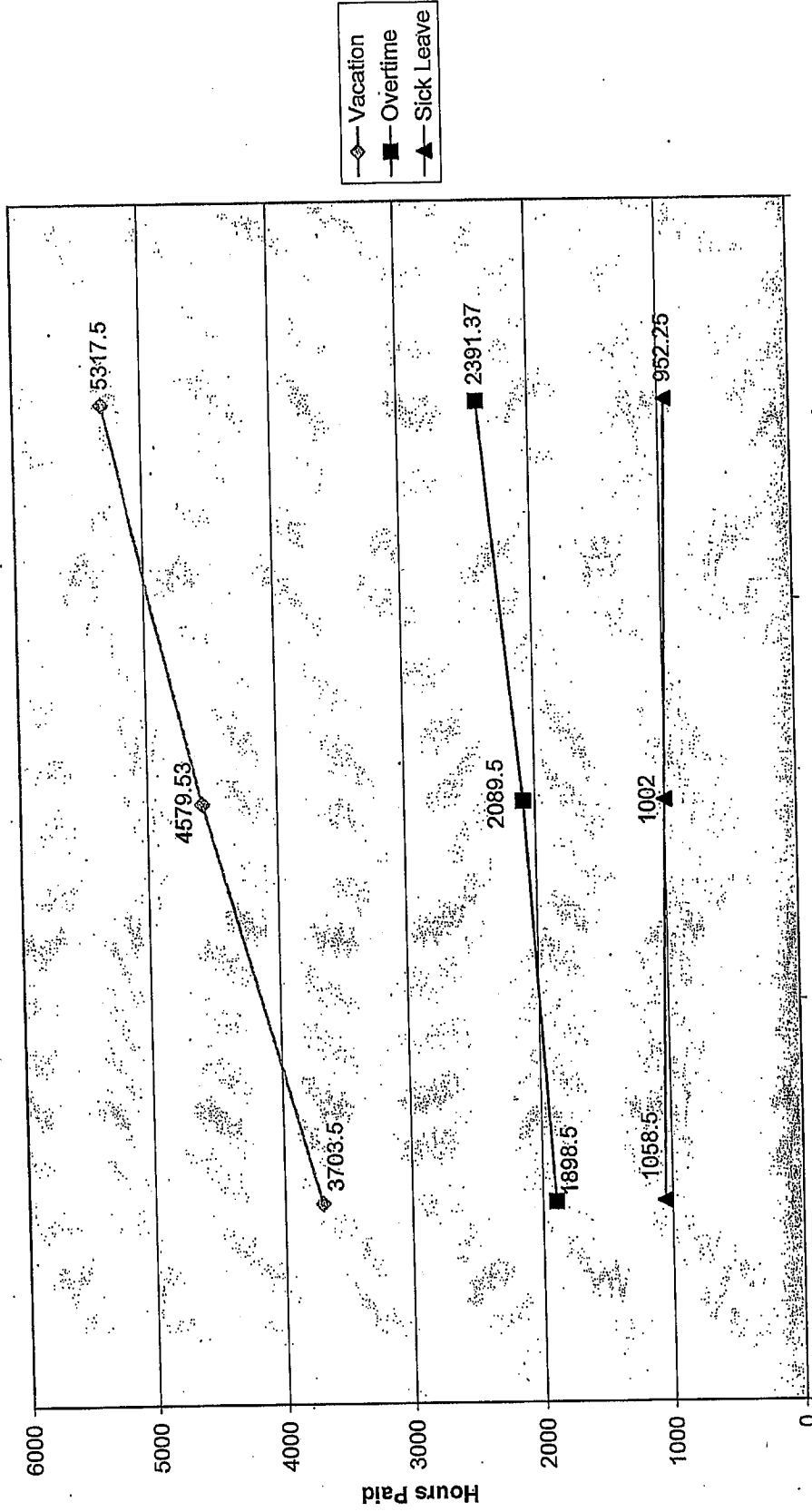
VALLEY DIVISION



FOURTH QUARTER, FY 2005/06, Personnel Management Division, Reported Attendance Categories

ANNEX B

VALLEY DIVISION



April May June

FOURTH QUARTER, FY 2004/05, Personnel Management Division, Reported Attendance Categories

ANNEX C

**OVERTIME PAYMENT GLASIFICATION
APRIL THROUGH JUNE 2006**

SUMMARY	CLASS CODE	HRS PAID	OT/CTO PAY
Public Safety Dispatcher II	1663	4179.32	\$128,056.12
Motor Carrier Specialist I	3930	3090.50	\$115,281.51
Office Assistant (Typing)	1379	1023.00	\$21,022.82
Commercial Vehicle Inspection Specialist I	6854	967.50	\$27,734.54
Office Services Supervisor I (Typing)	1148	772.51	\$19,145.63
Public Safety Dispatcher I	1664	748.25	\$22,357.30
Public Safety Dispatch Supervisor I	1662	718.75	\$26,478.23
Office Technician (Typing)	1139	304.00	\$7,965.60
Staff Services Analyst	5157	286.62	\$6,440.23
Automotive Technician II	6830	283.00	\$8,753.82
Custodian	2011	171.00	\$3,526.49
Maintenance Worker	2029	87.50	\$1,911.03
Office Services Supervisor II (General)	1150	70.25	\$2,044.77
Word Processing Technician	1181	56.75	\$1,274.58
Stenographer	1262	35.00	\$827.40
Senior Stenographer	1257	20.00	\$519.79
Public Safety Dispatch Supervisor II	1665	13.25	\$531.95

ANNEX D

ATTENDANCE REPORT
 Original - Personnel Services Section
 Copy - Employee
 Copy - File
 1032 CHP 71 (Rev. 10-04) OPI 037

SOCIAL SECURITY NO. _____ NAME _____ ID NUMBER _____
 CLASS/SERIAL _____ CBID _____ VWSG _____ LOCATION CODE _____ PAY PERIOD _____
☐ OVER 11 CONSECUTIVE WORKING DAYS OFF PAY IN TWO CONSECUTIVE QUALIFYING PAY PERIODS. (Check this box if employee has pay period and 11 days off pay period, but consecutive days off do not follow regular pay period and ended this pay period totals more than 60 hours.)

SHIFT START TIME:

SKILL PAY

☐ PERMANENT EVENING SHIFT
☒ PERMANENT NIGHT SHIFT
☐ PARTIAL SHIFT (E OR N IN SOLL PAY COLUMN)
☐ BILIGUAL

WORKWEEK (Indicate one)

☐ REGULAR WORKWEEK (A-M-F, 8 HOUR SHIFTS)
☒ IRREG. WORKWEEK (OTHER THAN SAT/SUN OFF)
☐ ALT. WORKWEEK (REFER TO HRM 10.3 CH. 20)
☐ 3/10 (DAY OFF)
☐ 3/20 (DAY OFF)
☐ 3/40 (HALF DAY)
☐ 3/12 (DAY OFF)

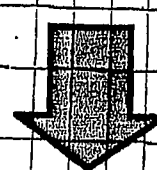
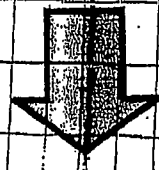
BALANCE	VACATION/ANNUAL LEAVE	PERSONAL LEAVE	PLP 1	PLP 2	UPLP	C.T.O.	HOLIDAY CREDIT	EXCESS HOURS
1ST OF MO.	434.50	280.50				29.16	16.00	12.00
LESS USED	32.00	16.00				0.00	16.00	0.00
SUB TOTAL	402.50	264.50				29.16	0.00	12.00
PLUS EARNED	10.00	8.00				0.00	0.00	0.00
1ST OF NEXT MO.	412.50	272.50				29.16	0.00	12.00

COMMENTS: XMAS 9 03/25/06

Personal holiday(s) used ☒ Yes-date(s): 03/19/2006 ☐ No
 INITIALS OF PERSON PREPARING FORM: KAS

CERTIFICATE OF APPOINTING AUTHORITY: I hereby certify that to the best of my knowledge and belief, this attendance report is true and correct and that the person listed hereon has not been assigned duties

DATE	R.T.	S.L.	VAC/ANLV.	INJ.	C.T.O.	EX. OFF	OFF. PAY	MISC. OFF	TOTAL	PAID O.T.	C.T.O.	EX. ON	MISC. ON	SKL. ON	PAY	REMARKS
1	8.00								8.00							
2	8.00								8.00							
3	8.00								8.00							
4	8.00								8.00							
5	X								X							
6	X								X							
7		8.00							8.00							FS
8		8.00							8.00							FS
9	8.00								8.00							
10	8.00								8.00							
11	8.00								8.00							
12	X								X							
13	X								X							
14	8.00								8.00	0.50						NB
15	8.00								8.00	3.00						
16								8.00	8.00	12.00						HC
17	8.00								8.00							
18																
19	X								X							
20	X								X							
21	8.00								8.00	1.00						SHIFT COV
22	8.00								8.00	4.50						SHIFT COV, NB
23	8.00								8.00	3.00						SHIFT COV
24			8.00						8.00	12.00						SHIFT COV
25			8.00						8.00	12.00						SHIFT COV
26	X								X	12.00						WORKED RDO
27	X								X							
28	8.00								8.00							
29			8.00						8.00	11.00						SHIFT COV
30			8.00						8.00	12.00						SHIFT COV
31																* 47 HRS OT
TOTAL	112.00	16.00	32.00					16.00	176.00	1.50						FWD TO 7/06 *
DATE																TOTAL HRS PAID 16.00



ATTENDANCE REPORT

(0032 CHP 71 (Rev. 10-04) OPI 037

Original - Personnel Services Section
Copy - Employee
Copy - FTA

SOCIAL SECURITY NO.	NAME	ID NUMBER
CLASS/SERIAL	CBID	LOCATION CODE
	WVWG	PAY PERIOD

☐ OVER 11 CONSECUTIVE WORKING DAYS OFF PAY IN TWO CONSECUTIVE QUALIFYING PAY PERIODS. (Check box below if employee has been paid and 11 days off pay period, but consecutive days are not within 180 days period and ended this pay period totals more than 88 hours.)

SHIFT START TIME: 0730

SKILL PAY	WORKWEEK (Indicate one)			
	<input type="checkbox"/> PERMANENT EVENING SHIFT	<input checked="" type="checkbox"/> REGULAR WORKWEEK (NAT'L 8 HOUR SHIFTS)	<input type="checkbox"/> IRREG. WORKWEEK (OTHER THAN SAT/SUN OFF)	<input type="checkbox"/> ALT. WORKWEEK (REFER TO APP 10.1 CH. 28)
<input type="checkbox"/> PERMANENT NIGHT SHIFT	<input type="checkbox"/> 4/10 (DAY OFF)	<input type="checkbox"/> 9/80 (DAY OFF)	<input type="checkbox"/> 9/40 (HALF DAY)	<input type="checkbox"/> 3/12 (DAY OFF)
<input type="checkbox"/> PARTIAL SHIFT (EORN 1/2 SOLL PAY COLUMN)				
<input type="checkbox"/> BILINGUAL				

BALANCE	VACATION	SICK	PERSONAL LEAVE	HOLIDAY	EXCESS
SERIAL NO.	NO.	LEAVE	PLP 1	C.T.O.	CREDIT
110.00	428.50		95.00	11.88	24.00
88.00	8.00		0	0	0
22.00	420.50		95.00	11.88	24.00
10.00	8.00		0.00	1.50	0
32.00	428.50		95.00	13.38	24.00

COMMENTS: XMAS 12/23/05

Personal holiday(s) used ☒ Yes-date(s): 05/03/2006 ☐ No

INITIALS OF PERSON PREPARING FORM: KAS

CERTIFICATE OF APPOINTING AUTHORITY: I hereby certify that to the best of my knowledge and belief, this attendance report is true and correct and that the person listed is as not been assigned duties

DATE	R.T.	S.L.	VAC/ANLV.	INJ.	C.T.O.	EX. OFF.	OFF. PAY	MISC. OFF.	TOTAL	PAID O.T.	C.T.O.	EX. ON	MISC. ON	SKL. ON	PAY	REMARK
1	8.00								8.00							
2	8.00								8.00							
3	X								X							
4	X								X							
5	8.00								8.00							
6	8.00								8.00							
7	8.00								8.00							
8	8.00								8.00							
9	8.00								8.00							
10	X								X							
11	X								X							
12	8.00								8.00							
13	8.00								8.00							
14	8.00								8.00							
15			8.00						8.00							
16			8.00						8.00							
17	X								X							
18	X								X							
19			8.00						8.00							
20			8.00						8.00							
21			8.00						8.00							
22			8.00						8.00							
23			8.00						8.00							
24	X								X							
25	X								X							
26			8.00						8.00							
27			8.00						8.00							
28			8.00						8.00							
29			8.00						8.00							
30			8.00						8.00							
31																
TOTAL	80.00	8.00	88.00						176.00	48.00	1.00					
DATE																

I hereby certify that the above is true and correct.



05/03/2006

ANNEX E

Memorandum

CONFIDENTIAL

Date: September 26, 2006

To: Office of Internal Affairs

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Valley Division

File No.: 201.10670.11731.092606

Subject: VALLEY DIVISION OVERTIME AUDIT - RESPONSE AND BACKGROUND

This memorandum provides background relative to the "Valley Division Overtime Audit - Preliminary Report" compiled by the Office of Internal Affairs (OIA) and dated September 2006. The report provides three "Findings and Recommendations" to which Valley Division has taken this opportunity to respond.

Finding 3

Valley Division accepts and appreciates the discussion points relative to discrepancies discovered in attendance reports. However, it is important to note that department-wide, Division Commanders do not normally review time sheets (CHP 71) submitted by subordinate commands, thus, Valley Division would not have been aware of the discrepancies revealed by detailed scrutiny of the OIA auditing team. Nevertheless, Valley Division has looked into the instances cited in which overtime may not have been properly documented or utilized in a manner consistent with state and federal guidelines and will take necessary measures to minimize errors and discrepancies in the future.

Finding 2

This Finding cites instances of improper use of leave credits and implies violation of a Government Code section. Valley Division concerns revolve around the vague language contained in departmental policy on this matter. During the period preceding the Audit, several commands inquired of Division if their employees could utilize leave credits on a regular work day, allowing them to consume overtime hours to complete tasks far in arrears due to long term staffing constraints, while simultaneously allowing reduction of excessive personal leave banks. Division researched policy and due to its ambiguity, contacted the Office of Employee Relations (OER) for further interpretation. OER responded that the practice was not prohibited but strongly discouraged (Attachment A). Division's subsequent instruction to subordinate commands prohibited this option. The two instances cited in the Audit as violations involved

Safety, Service, and Security

M e m o r a n d u m

C O N F I D E N T I A L

Date: September 26, 2006

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Safety, Service, and Security

September 26, 2006

commands that did not consult with Division, and consequently, did not have the benefit of the supplemental explanation at the time they authorized the leave. Valley Division has since provided the commanders with clarification on this issue to avoid similar errors in the future.

Finding 1

Division takes exception to the contents in Finding 1, as well as with its Recommendations, including their inferences and tones. Although information was available to the auditors, the report fails to discuss the events/conditions, which led to the fiscal difficulties. Just as important, it omits mention and credit for the effective and dramatic steps taken by Division to improve previously inadequate budget processes long before the Audit was conceived. The report paints a biased picture of Division's handling of the budget through inclusion of the unsubstantiated and unsupported finding that, "Valley Division inadequately managed the overtime allocations in FY 2005/06." This statement suggests that Division management and staff are either incompetent or that the report and its findings/recommendations are premature, baseless, and deserving of retraction.

In order to fully understand and appreciate the events which led to Valley Division's fiscal situation, it is necessary to examine the history of its fiscal management practices, discuss personnel factors, which contributed to the fiscal imprudence, and outline safeguards/changes introduced to improve conditions during the months preceding the Audit.

- In January 2005, the previous Valley Division Commander was promoted to Assistant Commissioner, Field (ACF). Over the subsequent five-month period, Division operations were headed by an Acting Division Commander. During this period, Valley Division was assigned two Staff Services Analysts (SSA), and who were responsible for day-to-day management and oversight of the Division's fiscal programs. These employees developed interpersonal problems that prevented them from working as an effective team. Their poor relationship and infighting led to neglect of their duties and the failure to share critical fiscal data with each other, as well as with their supervisory staff. These personnel and fiscal mismanagement issues were not immediately apparent to the Division's supervisory team or the Acting Division Commander.
- On June 1, 2005, Chief [redacted] reported as the new Commander of Valley Division. Upon arrival, he immersed himself into the Division's management programs and began assessing the health of the command budget. He quickly discovered indicators of poor fiscal management practices, including lack of documentation, reporting, and understanding of accounting practices in the budget and grants programs. Specifically, as Chief [redacted] began asking questions relative to oversight or accounting procedures he found the responses lacking in substance or reflecting information outdated by upwards of 90 days. The more questions asked, the greater his suspicion that the Division lacked the

September 26, 2006

processes and ability to properly account for its budget allocation, including state and federally funded overtime.

- In July 2005, [redacted] resigned from the Department. Although her position was promptly advertised for refill, her absence resulted in a considerable increase in the workload delegated to the remaining SSA, [redacted], who now assumed sole responsibility for maintaining the Division's fiscal management and oversight processes.
- On August 15, 2005, Chief [redacted] reassigned [redacted] from South Lake Tahoe Area to fill the Division's Administrative Assistant position. [redacted] prior experience as supervisor of the Department's grant program and proven administrative skills were key factors in his selection. Chief [redacted] outlined his suspicions relative to the substandard fiscal controls in place, along with the expectation that the issue become the immediate focus of [redacted] duties. Present during this meeting were Assistant Chiefs [redacted] and [redacted], who shared their concerns over [redacted] ability to properly fulfill the responsibilities associated with her position.
- Between August 15 and 31, 2006, [redacted] confirmed Chief [redacted]' concerns regarding the Division's fiscal management practices. [redacted] review of available fiscal documentation also revealed that [redacted] had performed her budgetary duties in a substandard manner, and their combined poor record-keeping practices failed to provide an accurate picture of the Division's fiscal status with regards to fund allocations, delegations, or grant status. [redacted] continued to press for information on these matters and [redacted] repeatedly reassured the Lieutenant that she was working on the requests but failed to produce any meaningful data. [redacted] then began to document the substandard performance, an action which resulted in [redacted] being reassigned from the fiscal management role, work-related stress claims, extensive absences, and [redacted] eventual resignation. An abridged chronology of these actions and events is included as Attachment B.
- At this point, [redacted] knew with certainty that [redacted] had no idea of the balances of the Valley Division grants she was responsible for and had failed to properly manage the Division budget. What was not yet evident; however, was that [redacted] had set aside approximately \$600,000 as a Division "reserve" budget. [redacted] may not have shared this critical information with [redacted] before leaving, due to their mutual dislike. [redacted], in turn, did not share this information with the individual who ultimately took over both of the SSA fiscal management roles, [redacted], who was selected for an SSA Training and Development assignment effective September 1, 2006. [redacted] filled the position vacated by [redacted], although [redacted] was continuously absent on medical leave during this period, her position could not yet be filled.

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abrupt departure and refusal to cooperate with the Department resulted in the loss of her grant related experience, knowledge of any local fiscal management practices, and history of the Division's budget. In addition, whatever fiscal management knowledge her former co-worker, _____ may have left with her was also lost and _____ was deprived of any transitional training. Finally, because these two prior employees had grossly failed to manage the Division's fiscal assets, and failed to keep accurate records, those who would replace them faced an extremely challenging task in recreating the Division's budget status. This, in part, explains why the unallocated \$600,000 reserve was not obvious.

- On February 1, 2006, _____ was transferred to Valley Division. _____ was assigned managerial oversight of the Division's administrative functions and began working with _____ and other administrative staff to refine the processes, checks, and balances necessary to provide a continuous, accurate picture of the Division's budget and grant status. At this juncture, existing records indicated that the Division would exceed its allotted overtime budget by a considerable amount. The Division management team was apprised and began instituting actions to reduce the anticipated overage, including seeking out opportunities to obtain additional grant monies or increase the non-reimbursable overtime allotment to address ongoing operational needs.
- On April 17, 2006, Division was successful in recruiting for and filling _____ SSA position with _____ immediately underwent an extensive two-week training process for the new ARMS system and annual budget change proposals and began working with _____ in deciphering the Division budget and grants status, as well as developing new processes to address record-keeping and reporting needs.
- On May 2, 2006, Division was advised by ACF that funds were being released to Divisions in need of supplemental overtime funding. Still unaware of the \$600,000 reserve, Division requested and was allocated \$85,000 in non-reimbursable overtime for uniformed personnel. Shortly thereafter, ACF advised further overtime hours would be available for both uniformed and nonuniformed staff. Valley Division requested \$663,000 to cover projected overtime overages, and to provide sufficient funding for traffic safety programs, as well as to attempt to address a variety of tasks in arrears due to non-uniformed clerical, motor carrier, and janitorial shortages. ACF was also apparently unaware of the Division's (hidden) reserve and allocated \$78,100 of the \$663,000 requested (refer to Attachment C).
- On May 11, 2006, Division was informed by ACF that remaining uniformed overtime had to be used prior to June 11, 2006, because of the FLSA period ending date. ACF indicated that after that date, remaining uniformed overtime allocations could be utilized by non-uniformed employees (Attachment D).

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- On May 18, 2006, after Division received the aforementioned supplemental allocations, conducted further reconciliation of the Division's budget allocations by category, current and past. It is important to note that while [redacted] had previously closely examined all original overtime documents prepared the previous year by [redacted], the \$600,000 reserve was still unaccounted for, since it did not appear on the "201 Overtime Report," or ACF's overtime report under the 201 (Valley Division) Allocation. [redacted] diligent scrutiny of available records resulted in discovery of another accounting spreadsheet. The spreadsheet confirmed Division's delegation of the known portions of its uniformed and non-uniformed personnel overtime allocations; it also revealed the previously unknown and completely separate \$600,000 reserve. This new information represented approximately \$300,000 in available overtime funding (versus an overage) that could be used to cover existing needs and to enhance traffic safety operational programs.

- On May 23, 2006, having confirmed the above figures through information provided by ACF, Chief [redacted] and the Division management team were briefed of the new budget status. The management team subsequently discussed traffic safety problem locations within the Division, programs that might be funded to address them, and Areas best suited to deploy additional patrol and special enforcement details.

They also discussed the variety of pending tasks that could be addressed by converting uniform overtime remaining after June 11th to non-uniformed applications. In addition to an anticipated clerical need to address data entry and filing resulting from the increased officer activity and patrols during the preceding month, almost all commands reported having fallen behind in routine tasks, primarily due to reduced non-uniformed staffing levels resulting from prior hiring freezes. Examples included arrest and collision reports piled high, awaiting data entry or filing; communications centers in critical need of updating dispatch console position materials; motor carrier personnel far behind in conducting statutorily required truck and bus terminal inspections; processing of timesheets and general filing which needed to be completed by the end of the fiscal year; and the desire of many offices to address numerous "clean-up" projects previously neglected due to the personnel shortages.

Chief [redacted] decided that after June 11th, commanders could allocate their remaining uniformed overtime balances to non-uniformed personnel; however, there was never a suggestion that overtime could be used contrary to state and federal guidelines.

Division held a conference call with Area commanders concerning the availability of additional overtime. A redistribution plan was created and agreed to, allocations were distributed, and reporting requirements were established to closely track expenditures and avoid exceeding allocations. The results of increased enforcement via additional patrol

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and other types of enforcement personnel deployment were an impressive improvement in traffic safety throughout the Division (Attachment E), for which the Division has received kudos from the media and Headquarters, including a Commissioner's Unit Citation for the Grass Valley Area.

On June 14, 2006, an e-mail was distributed to all Valley Division commanders, their designated back-up and miscellaneous Division administrative staff; the e-mail paraphrased Chief instructions relative to use of overtime by nonuniformed personnel (Attachment F). Staff also projected that approximately \$200,000 might remain unspent, which would be returned to ACF at the end of the fiscal year.

- As of September 26, 2006, provisional estimates project a total of \$279,000 of Division's allocated overtime funds will be returned to the California Highway Patrol budget (Attachment G).

FACTORS LEADING TO THE DIVISION'S FISCAL CONDITION

The factors contributing to the Division's unfavorable fiscal situation included:

- Division experienced a large turnover in personnel starting in early 2005, which appears to coincide with the start of the fiscal mis-management, through May of 2006, when the additional reserve monies were discovered. Turnover took place in the positions of Division Commander, Assistant Chief, Administrative Assistant, Administrative Sergeant, Staff Services Analysts, and Executive Secretary.
- Division lacked a follow up mechanism to ensure quarterly grant reports were completed in a timely fashion and submitted to Headquarters on the Division's behalf by . It should also be noted that Headquarters tracking mechanisms did not include provisions for notification to Division management when all four quarterly grant reports for 2005 failed to be submitted.
- There were no accurate fiscal management tracking mechanisms in place within the Division to manage grants or the budget prior to the assignment of the new Division Commander and Administrative Assistant. It should be noted that departmental tracking mechanisms also failed to identify Valley Division's unencumbered \$600,000 reserve.
- Grant overtime allocation memorandums the previous analyst had prepared were laden with accounting errors, which required countless hours of staff time to reconcile and to disseminate revised allocations to Areas.

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- The two SSAs responsible for functionally managing the Division's grants and budget were not following the tracking and reporting requirements of the grant project agreements, nor practicing sound documentation of budget allocations and expenditures. For example, [redacted] attempted to track grant expenditures for two grants based solely on the reports she requested monthly from Information Management Division. These reports did not include inevitable corrections and late entries that were manually corrected after CHP 415 entry cut-off dates. [redacted] also chose to not refer to the reconciliation reports for the special project codes pertaining to these two grants. Instead, she tracked these expenditures based solely on a flawed and inaccurate method.
- [redacted] engaged in deception by knowingly providing outdated, false and inaccurate information to the Division management team. An example of her unethical behavior was the discovery that she was falsifying her personal time sheets. [redacted] also engaged in deception and fraud, subsequently resigning from the Department and leaving the Division leaving no one to provide transitional training to replacement employees. This employee's claim of work-related stress also resulted in her position remaining vacant for approximately seven months during a critical period in the fiscal year.
- The new Allocated Resource Management System proved to be labor intensive and time consuming to input and access. Its implementation at this point of time further complicated an already difficult situation by adding to the workload and demands on [redacted]; the SSA who assumed the fiscal duties from [redacted].
- Although Division attempted to provide [redacted] with some on-the-job training and sought out opportunities for her to learn from more experienced personnel at Research and Planning Section, Special Projects Section, Grants Management Unit, and Golden Gate Division, the employee had no formal experience with fiscal matters and was, in fact, on a Training and Development assignment. Consequently, despite her best efforts, she was overwhelmed with the work left in arrears by her predecessors. It bears mention that these fiscal duties are shared in other field Divisions by as many as four analysts. Further, [redacted] worked tirelessly; day and night, as well as through weekends to place the Division budget in order.
- Additional overtime allocations were provided by ACF, in the amount of \$85,000 for use during Maximum Enforcement Periods, and \$78,100 for use as supplemental overtime, further substantiating the belief of Division personnel that there were no local reserve monies available and exacerbating the problem created by the unknown \$600,000 reserve.
- Divisions were directed by Headquarters to ensure the expenditure of all grant allotments to avoid "roll-over" situations that could possibly lead to future reductions of federal

grant allocations. This emphasis on spending inspired some commanders to fully encumber their allocations.

- Divisions were unable to continue to use allocated uniformed overtime after June 11, 2006, due to the end of the Fair Labor Standards Act period.

OVERVIEW OF VALLEY DIVISION'S FISCAL PRACTICES/PROCESSES

Following the change in administrative personnel in May 2005, Valley Division had initiated the following fiscal accounting processes and corrective actions. With the exception of the last two bulleted items, these practices/processes were in place prior to the OIA Audit:

- Hands-on training and consultation was sought out and provided to the two Division fiscal analysts by Headquarters Grants Management Unit, Special Project Section, and Golden Gate Division's overtime coordinators.
- Fiscal status updates have been incorporated into Monday-morning Division staff meetings.
- Grant and budgeted overtime discussions have been included as part of a "Business Meeting" portion of the agenda during every bi-monthly Valley Division Area Commanders' Conference, as well as during quarterly Strategic Planning meetings. The Division fiscal management analysts attend these sessions and provide a review of each Area's fiscal allocations and spending patterns. The sessions also allow for ongoing monitoring and adjustment of grant and budget funds, as well as the means to exchange fiscal information with the commanders on a regular basis.
- Standardized recordkeeping and spreadsheets to track and report grant expenditures at the Area level now include:
 - Spreadsheets that are reconciled each month with Division records.
 - Quarterly progress reports to the appropriate Office of Primary Interest within Headquarters.
 - Adoption of an Excel workbook adopted from Golden Gate Division, which helps to eliminate duplicate overtime report entries.
 - Implementation of a system to capture from CHP 415s any overtime of Division-assigned commercial officers, air operations crews, investigative services personnel, and task force employees.
 - A complete revamp and regular update of the data entered into ARMS, which accurately reflect all aspects of Valley Division's budget allocations and expenditures.

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- A new spreadsheet was created specifically to track Special Project Code 600. This code relates to overtime used by Division personnel but which is reimbursed to the Division by ACS, due to its nature.
- Standardized overtime reports were developed for Areas to utilize in compiling, tracking, and reporting their expenditures to Division. These correct problems previously created by inconsistencies in data submission and allow Division to accurately compare and report up-to-date data.
- Division now distributes grant-related operational plans to coordinators within each Area and unit participating in grant-funded overtime projects. This practice previously was not followed and, therefore, some units were unaware of their allocated hours.
- An Assistant Chief has been assigned to provide oversight of all matters related to the Division's administrative processes, including grants and the budget.
- Overtime related discussions and written communications now contain a reminder that funds may only be expended in a manner consistent with state and federal guidelines.
- All funding-related documents and information routed via e-mail by Division personnel must now be reviewed prior to dissemination by the Division Administrative Assistant, and reviewed and approved by an Assistant Chief.

Samples of various reports and spreadsheets utilized for fiscal accountability and management are included as Attachment H.

CONCLUSION

The Division's fiscal management practices are better than ever before. New spreadsheets have been created and disseminated to all Areas so each command may now track overtime hours used by grant, by classification, and by month. Master spreadsheets have been created for use by SSAs at the Division level and which allow reconciliation of expenditures on a monthly basis from information provided by Area grant coordinators.

All information is now collated by grant and Area at the Division level, and discussed during weekly Division staff meetings. Budget and grant status and tracking is discussed with all commanders during each DACC and at Strategic Planning meetings. Monitoring is now in place for each grant at the Division level to ensure proper use of all hours in accordance with state and federal guidelines, and grant project agreements provided by OTS.

Oversight is now also in place for all prescheduled DUI task forces and checkpoints to ensure these events occur on schedule and the expenditures are properly documented. Regular updates to commanders and chiefs are now provided to ensure proper oversight of the Division's budget, overtime and grant programs. Management oversight of the budget has been significantly improved, and the Division management team demands the same degree of accountability of each of its subordinate commands.

Although the current Valley Division management team inherited a poorly run fiscal operation and experienced severe staffing shortages during a time when the new ARMS was being implemented, the Division still managed to correct a host of fiscal management deficiencies. Valley Division has created a highly accurate, accountable, timely, and efficient system of tracking its grant and budget allocations, including implementation of several new checks and balances, the majority of which were in place long before the OIA Audit. In fact, it was the new tracking systems that led to the discovery of the previous mishandling of the fund reserves, which resulted in the Audit.

Valley Division is confident that the systems in place are sufficient to ensure good stewardship and respectfully requests consideration of the information provided in this response with the hope that said review will result in the modification of the contents of the Audit Report's Finding 1. Should you have any questions please do not hesitate to call me at (916) 464-2090.

Attachments

Annex A

From:
To:
Date: 6/7/2006 8:04:07 AM
Subject: Fwd: OER Reporter

the answer to our discussion regarding use of vacation to shell out overtime.

>>>

6/6/2006 3:49:03 PM >>>

If this OT is reimbursable, you can let your folks use leave credits. No problems.

If it is departmental OT the detail must be outside there regular shift. You can, at the employees request, adjust their shift (schedule) to accommodate the OT or you can attach the OT to the beginning or end of shift.

The use of leave credits has been done in the past as a last resort but it sets a bad precedence. An employee may throw it back to you saying you did it back then, why not do it when I need it.

I hope this helps.

Employee Relations
916 657-7189

Annex B

OER Reporter #4

Personal Leave Program

All employees, whether represented or excluded, must participate in the Personal Leave Program (PLP). Employees will participate in the PLP for the equivalent of 18 months. Managerial and supervisory employees who had their salary rates reduced by 5% during 1991-1992 shall be credited with one month's participation for every month they had their salary reduced. Those managerial and supervisory employees who were promoted and did not have their salary rates reduced 5% during 1991-1992 and all represented employees shall participate beginning on July 1, 1992, or upon ratification of their bargaining unit contract. For this period, employees will receive one day of personal leave (eight hours for full-time employees) in lieu of one day of pay. At the end of their 18-month period, employees' earnings will be restored to their full salary rates. The main thing to remember about the PLP is that all employees will have the equivalent of an 18-month participation in the program, even though they may begin and end at different times.

Employees on EIDL, NDI, IDL, or Worker's Compensation for the entire monthly pay period shall be excluded from the PLP. However, if an employee works at least 11 hours in the monthly pay period, he/she will participate in the program. Intermittent employees' personal leave time shall be prorated based upon the number of hours worked in the monthly pay period. Employees may not use any kind of paid leave such as sick leave, vacation or holiday time to avoid a reduction in pay resulting from the PLP. Employees may choose to use personal leave time off or keep the time in a separate personal leave bank. Any employee using personal leave shall request and use it in the same manner as vacation or annual leave. Under the PLP, the State may cash out unused PLP balances at any time, contingent upon availability of funds. Due to the State's current fiscal crisis, it is not feasible at this time to consider cashing this time out. However, the Department will constantly monitor the budget and, should funds be available at a later date, consider a plan to cash out all or a portion of this leave. If the time is not cashed out, it may be taken as discretionary time off or held until the employee separates from the Department at which time the personal leave balance will be cashed out.

Permitting a Union Representative Access to the Work Location

Management is obligated through statute and contract to grant a labor organization representative access to his/her members at the work location. Every attempt should be made to accommodate a representative's request to meet with his/her members. If Departmental operations will not be adversely affected, the union representatives are required to comply with the obligations negotiated in their respective labor agreements and supplemented by policy set forth in HPM 9.1 (Employee Relations Manual), Chapter 5 (General Employee Relations Guidelines). As a general rule, a representative desiring access to a work location must state the purpose and should request approval from the location's Commander or designee within a reasonable amount of time prior to an intended visit. Represented employees are prohibited from allowing a union representative to access the work site without prior supervisory or managerial approval. For example, a union representative is not permitted to enter a Communications Center or non-work area such as break rooms or employee lounges after normal business hours without management's approval. If this does occur, the employee(s) allowing the representative to enter the facility should be counseled and appropriate corrective action taken consistent with progressive discipline principles. If union representative(s) persist in coming to the work location after hours without management's approval, the Commander is requested to contact the Office of Employee Relations so that the appropriate union leadership may be notified of the impropriety of the representative's actions. If an employee desires to meet with his/her union representative during working hours on a representational matter, the employee must have management's permission to meet at the work site. The labor agreements also state that access to work locations may be denied or delayed for reasons including safety, security, workload requirements or other legitimate circumstances. The Department is on record in several Bargaining Units as not allowing a union representative to enter the work site or

OER Reporter #2

Management Proposal Process

To assist OER in developing workable contemporary bargaining proposals, all designated managers and supervisors are encouraged to review the existing contracts and identify any operational difficulties encountered by current language and/or its application. The focus should be on any problems or unique situations that exist with current contract provisions as well as any suggestions for negotiating a new provision. Special considerations should be given to existing language that, if altered, would enhance management's ability to manage/supervise in a more effective and efficient manner.

Managers and supervisors are cautioned not to discuss the bargaining proposals with or request input from represented employees. As a reminder, the bargaining proposal process is not intended as a forum to request desirable personal or economic management benefits. These particular requests should either be directed to the Management Compensation Committee or the appropriate supervisory organization. The "Management Proposal" form (CHP 014-4) is available through OER. The form is designed to facilitate submission and does not require an extensive narrative or proposed solution unless the author chooses to provide them. Additionally, the information-gathering process is on-going to permit managers and supervisors to submit suggested proposals whenever they encounter difficulty in administering the provisions of the contracts.

Bargaining Unit 7 & 12

Election Results

The Public Employment Relations Board has announced the outcome of the recent elections to determine exclusive representatives in Bargaining Units 7 (Protective Services and Public Safety) and 12 (Craft and Maintenance). The Laborers International Union of North America (LIUNA) lost its attempt to take exclusive representation from the California Union of Safety Employees (CAUSE). The International Union of Operating Engineers (IUOE) was, however, successful in unseating the Alliance of Trades and Maintenance (ATAM) as the exclusive representative in Unit 12.

What is Arbitration?

Arbitration is a settlement of disputes between groups or individuals outside a court of law using a neutral third party to provide a decision on the issue in dispute. Arbitration is an extension of collective bargaining as practiced in the United States. The purpose of collective bargaining, in part, is the resolution of differences between employers and employees over the terms and conditions of employment. There are two types of arbitration: interest and grievance arbitration. Interest arbitration occurs when negotiations have come to an impasse. Interest arbitration can be granted by statute or negotiated into a contract provision. To date, the State has not agreed to interest arbitration with any employee organization. Grievance or rights arbitration is used to settle disputes between parties of a contract regarding its application or interpretation. All bargaining unit contracts currently administered by the Department contain a grievance arbitration provision. Arbitration provides a safety valve beyond the normal grievance procedure, settles disputes without resorting to strikes or other disruptive job actions, clarifies contracts or tests their application, and creates an important outlet for tension by letting parties save face through the decision of a neutral third party. The grievance procedure normally involves meetings between Union and management officials at successively higher levels. In these meetings, the parties themselves attempt to resolve the dispute through clarification of issues and facts. If these discussions ultimately fail, they turn to third-party intervention. Thus, when internal efforts have not worked, arbitration is utilized to settle the issue. The involved Union determines which grievances it elevates to the arbitration level, not the employee. This is due in part to the high cost of taking a case to arbitration, which is usually split equally between the Union and the Department. Another factor which influences the decision to elevate a case to arbitration is the impact of a negative decision. Not only is the arbitrator's

Between August 15 and 31, 2006, review of available fiscal documentation revealed numerous deficiencies in work performance. began to document the substandard performance, an action that initially resulted in being reassigned from the fiscal management role, work-related stress claims, extensive absences, and eventual resignation when faced with an Adverse Action. An abridged chronology of these actions and events is hereby provided:

>>> 9/1/2005 2:50:22 PM >>>

Can you please provide a status on all of our grants. This would include our Division wide grants (statewide) and our Area specific grants.

Specifically, we're interested in:

- * Are we on track to spend all of our money?*
- * Total dollar amount originally available.*
- * Total spent to date.*
- * Total left.*
- * And, if we have over-spent, we need that information too.*

I am sure this should all be on one spread sheet for each grant.

If there is anyway I could get this by Friday afternoon, September 2nd, that would be great!

Thanks

CC:

Over the next two weeks, repeatedly asked for the balances of each grant by Area, to-date, within Valley Division. continually reassured that she was working on his request with statements such as, "The information will be on your desk in the morning" and, "Everything is taken care of, I just have to print it out and give it to you."

On September 17, 2005, having not received any information from sent the following e-mail to her:

From:

To:

Date: 9/17/2005 1:33:04 PM

Subject: Fwd: Re: STATUS OF ALL VALLEY DIVISION GRANTS

We cannot wait any longer for a status update on our grants, it has been over two weeks since we requested this information. We have to update our commanders ASAP. Provide me with the following NLT noon on Tuesday, September 20th, via e-mail to me with a cc to the Chiefs:

An up-to-date spreadsheet of each grant Valley Division has. This will include Area specific grants and our statewide grants. If [redacted] has a grant for one of his shops we need that too. At a minimum, the spreadsheets need to provide information relative to: the name of the grant; grant number; how much money was originally allocated for each FFY; how much money has been spent to-date, broken down by month; our current balance of funds available; and the time period we have left to spend the money. If we have over-spent, then that shall also be reflected.

If you do not have a record of what grants [redacted] had, then call Grants Management Section at (916) 657-7416 Monday morning and find out.

Please provide me with all of the Grant Concept papers that have come in to-date. I will review them and brief the Chiefs. This will relieve you from some of the work.

On September 19, 2006, [redacted] responded via email:

From:
To:
Date: 9/19/2005 10:42:25 PM
Subject: Re: BUDGET SPREADSHEETS

I have attached the revised overview and the budget sheets as requested. I will be in the office to go over these sheets right after court. I am also attaching the spreadsheets for my grants (SPC's 496 and 542) for officer/spts. [redacted] was taking her grants home to complete. They have been updated with stats keyed into HQ. Hope this all helps :}

Respectfully,

*Special Services Analyst
Valley Division
(916) 464-2090 ext 4040
(916) 464-0511 fax*

Although [redacted] did provide spreadsheets for two of the four large OTS grants that Valley Division had during this time period, the spreadsheets that she provided were not what had been requested. She had instead simply copied charts from Headquarters Special Projects Section, which were not a current or "up-to-date" accounting of grants.

had clarified with verbally on no less than three occasions during the preceding two-weeks that he needed to know the balance of each grant by Area. This would have allowed a determination of which Areas had spent all of their grant hours and which Areas had not.

On September 20, 2005, did not return to work following her court appearance as she had promised.

On September 21, 2005, returned to work and was advised by -that the information she provided was not up-to-date, was incomplete, and did not provide information relative to the balance of each grant by Area. reminded that the end of the federal fiscal year was now only nine days away. He again asked if she had the information he requested, to which responded that she already provided it.

At this point, knew with certainty that had no idea of the balances of the Valley Division grants she was responsible for and had failed to properly manage the OTS grants assigned to her. However, what he and the Division chiefs were not aware of at this time was that had set aside approximately \$600,000 as the Division's "reserve" budget. Unfortunately, had not shared this critical budgetary information with likely because of the mutual dislike they had for each other. Further, and poor fiscal documentation and lack of regular briefings with Division management resulted in this "reserve" remaining unknown to Division chiefs.

spoke with Assistant Chief and advised that was not properly managing Division grants, and recommended that be relieved of her fiscal management responsibilities. Assistant Chief was serving as the Acting Division commander at the time, given Chief Perez had been deployed to Louisiana as part of the Hurricane Katrina Relief Effort. Assistant Chief concurred with recommendation and directed to initiate an internal investigation into the allegations of grants mismanagement by

The subsequent internal investigation revealed that between the months of January 2005 through September 2005, SSA was assigned the duties of Grant Coordinator for Valley Division, responsible for the Border-to-Border (B2B) and County Road Collision Reduction (CR2) grants. responsibilities, as outlined in the Operational Plans for these grant programs, were as follows:

- Develop and implement a method for tracking the use of Unexpected Incident overtime for the B2B grant.
- Track the use of B2B and CR2 overtime hours and ensure overtime is used, but does not exceed Division allocations.

- Ensure CHP 415s (Daily Field Record) and CHP 71s (Attendance Report) are completed correctly and submitted on time.
- Prepare Quarterly Progress Reports for the Federal Fiscal Year for submission to Special Projects Section.

failed to comply with the requirements articulated above, allowing Valley Division to exceed its B2B allocation by 316.25 hours (at a minimum cost of \$16,128) in August 2005. also failed in her duties by not producing a single B2B or CR2 Quarterly Progress Report relative to grants usage for Special Projects Section. Additionally, improperly authorized the use of federal grant traffic safety funds (DUI overtime grant monies) to fund a painting project completed by the Woodland Area janitor, a gross miss-management of federal highway traffic safety funds.

was subsequently reassigned to Valley Division's Investigative Services Unit. Further, due to her poor work performance, it was decided it was in the best interest of the Department not to pursue anticipated upgrade to Associate Governmental Program Analyst. later told a fellow Valley Division employee she thought it would be "funny" if she were to file a Worker's Compensation claim for stress so that Valley Division management would not be able to backfill her position.

On September 28, 2005, followed through on her threat by providing Valley Division with a physician's letter stating she was unable to attend work until October 6, 2005.

On October 6, 2005, Ms. contacted Valley Division to advise she was providing yet another physician's letter preventing her from returning to work until October 17, 2005, and requested Division prepare a CHP 121, Employer's Report of Occupational Injury or Illness. Ms. alleged she was suffering from physical and mental stress inflicted upon her by the Valley Division management team. chose not to return to work at Valley Division and continued to submit numerous physicians' letters until her leave credits expired on December 5, 2005.

Further, the internal investigation found that ; one of only two Division fiscal management personnel, was falsifying her time sheets. Specifically, on no less than eleven separate dates from June - September 2005, falsified her time sheets, CHP 71s, claiming she worked regular and overtime hours, when in fact, she had not. The investigation concluded through a preponderance of evidence that was in violation of the following subsections of Government Code Section 19572:

- (c) Inefficiency.
- (d) Inexcusable neglect of duty.
- (e) Insubordination.

- (f) Dishonesty.
- (m) Discourteous treatment of the public or other employees.
- (o) Willful disobedience.
- (t) Other failure of good behavior either during or outside of duty hours which is of such a nature that it causes discredit to the appointing authority or the person's employment.

On February 21, 2006, voluntarily resigned from her employment with the California Highway Patrol. Her abrupt departure and refusal to cooperate with the Department also resulted in the loss of her grant related experience, fiscal management practices, and history of the Division's budget. In addition, whatever fiscal management knowledge her former co-worker, , may have left with her was also lost as a result of resignation. Further, because these two employees had grossly failed to manage the Division's fiscal assets, including the lack of accurate budget records, those who would replace these two employees would have an extremely challenging task of recreating the Division's budget and its status. This would, in part, explain why the Division's \$600,000 reserve was not yet discovered.

Annex C

Sent: Tue 5/2/2006 4:47 PM

From:
To:
Cc:
Subject: Additional Overtime Funds
Attachments:

Division Analysts and AA,

Due to budget augmentation funds not being utilized or allowed for the purchase of additional equipment, each Division is receiving an additional allocation for field overtime. It will be at the Division's discretion to decide how and where the overtime is utilized. The additional funds are for the current fiscal year only and need to be used no later than June 30, 2006:

Please ensure the additional allocation is properly tracked and the information is sent to AC, Field along with the monthly work period excel spreadsheet. The method of tracking is also at the discretion of each Division. (example: an additional column such as MAIT/HOV could be added to the spreadsheet or a simple e-mail noting the amount spent and the balance left would also be sufficient)

Amount for your Division is noted below. If you have any questions please feel free to contact me at 916-657-7196.

Valley Division \$ 85,000

Thank you,

Office of Assistant Commissioner, Field
Staff Services Analyst
(916) 657-7196
(916) 451-1714 (fax)

Sent: Mon 5/15/2006 4:36 PM

From:
To:
Cc:
Subject: Re: Request for Additional Overtime Allocation
Attachments:

Valley Division has been approved for \$78,100 in sergeant/officer overtime. It has been determined that these funds are to provide additional support for the MEE, therefore they should only be utilized for uniformed personnel. If any of these funds need to be moved to non-uniform, requests can be sent to AC, Field for approval. The overtime funds need to be used by June 11, 2006.

Have a great afternoon.

Office of Assistant Commissioner, Field
Staff Services Analyst
(916) 657-7196
(916) 451-1714 (fax)

>>> 05/12/06 4:13 PM >>>
Good afternoon

In response to the May 2, 2006, email soliciting requests for additional field overtime allocations, Valley Division respectfully requests a total of \$663,000.00; \$357,000.00 to be utilized for upcoming events and \$306,000.00 to cover a projected deficit.

Our Area Commanders have requested additional overtime funding to be utilized for seat belt compliance, speed, fatal reduction and DUI enforcement. For example, Valley Division's RAID Task Force would like to undertake several more operations in Areas with high DUI statistics. Also, our Yuba-Sutter Area has requested overtime hours for traffic control and general law enforcement for the upcoming Open House at Beale Air Force Base, including an appearance by the Blue Angels, which is expected to bring nearly 120,000 spectators.

Valley Division is projecting a deficit in overtime spending due to the addition of many vital programs including "Operation Safe Streets" which targeted DUI problems in the Stockton Area, and the toll free traffic complaint, response, and tracking program titled 1-877-CHP-1929. It has also been necessary to expend overtime hours for deployment of administrative staff during STAR campaigns, as well as, large increases in overtime spending by our Applicant Investigation Unit to meet the demand for qualified candidates for the CHP Academy. Lastly, the loss of Officer Andrew Stevens and the events following his murder consumed a significant number of overtime hours.

In closing, Valley Division appeals to the wisdom and favorable consideration of Assistant Commissioner, Field in asking for this supplemental overtime allocation.

Special Services Analyst
Valley Division
(916) 464-2090, ext. 4040
(916) 464-2097, fax

Annex D

Sent: Thu 5/11/2006 4:54 PM

From:
To:
Cc:
Subject: Re: CORRECTION - OVERTIME USAGE
Attachments:

That is correct all overtime for uniformed employees needs to be utilized by June 11, 2006, including both budget augmentations and the original 2005/2006 allocation. Reason being, this is the ending date of the last FLSA period in the 2005/2006 fiscal year. Non-uniformed overtime expenditures have until June 30, 2006.

And yes, this second budget augmentation can also include additional overtime for non-uniform employees.

Thank you,

Office of Assistant Commissioner, Field
Staff Services Analyst
(916) 657-7196
(916) 451-1714 (fax)

>>> 05/11/06 4:44 PM >>>

The Chiefs want to make sure that I'm not just misunderstanding, so they asked me if I could get some written verification to present to them.

Would you mind verifying that the uniformed overtime funds for both the \$85,000 we received already, and the overtime funds we will be sending in a request for tomorrow, as well as the regular overtime allocation we received at the start of the 05-06 fiscal year, all have to be utilized by June 11, 2006?

Also, would you mind verifying that the request for additional overtime that we are sending in tomorrow can include non-uniformed overtime?

Thank you.

Staff Services Analyst
Valley Division
(916) 464-2090, ext. 4047
(916) 464-2097, fax

>>> 5/11/2006 2:15:50 PM >>>

The following is an update to the e-mail sent yesterday.

It was been brought to my attention that the uniform overtime funds need to be spent by * June 11, 2006 *. This is the end of the last FLSA period for the 2005/2006 fiscal year. However, any funds being utilized for non-uniform employees still have until the June 30, 2006 deadline to be spent by.

Division Analysts and AA,

A friendly reminder of the upcoming MBE, California Seat Belt Compliance Campaign, May 14, 2006 thru June 4, 2006. The campaign focuses on increasing the seat belt usage rate. To accomplish this objective officers and sergeants

deployed on both regular and overtime hours shall focus enforcement efforts on seat belt and child passenger restraint violations. Separate supplemental CHP 415's shall be completed for grant overtime hours worked and shall contain special project code 428.

Additional overtime funds have become available for sergeants and officers for seat belt compliance, speed, fatal reduction, and/or DUI enforcement. These funds need to be utilized before June 30, 2006. Each Division shall advise on an estimated dollar amount requested to be spent prior to end of fiscal year 2006. Estimated dollar amounts need to be submitted to AC, Field, or prior to COB on May 12, 2006. AC, Field will review requests and advise of an additional overtime budget augmentation.

If you have any questions please feel free to contact.

myself at 916-657-7191.

Annex E

Valley Division Highlights

COMPARED TO FIRST QUARTER 2005

- Vehicle theft ↓ 21% Recoveries ↑ 106%
- Fatal collisions ↓ 24%
- Injury collisions ↓ 5%
- Only one fatal truck-at-fault collision
- Driver-at-fault commercial vehicle collisions:
 - Injury ↓ 6%
 - PDO ↓ 9%
- DUI fatalities ↓ 20%
- Speed fatalities ↓ 13%
- Speed enforcement ↑ 10%
- DUI enforcement ↑ 7%
- Child restraint enforcement ↑ 11%

Valley Division Highlights

COMPARED TO SECOND QUARTER 2005

- Vehicle theft ↓ 9%
- Injury collisions ↓ 15%
- Only one fatal truck-at-fault collision
- Driver-at-fault commercial vehicle collisions:
 - Fatal ↓ 50%
 - Injury ↓ 55%
 - PDO ↓ 37%
- DUI fatalities ↓ 30%
- Speed enforcement ↑ 16%
- DUI enforcement ↑ 14%
- Seat belt enforcement ↑ 9%
- Child restraint enforcement ↑ 2%
- Disabling injuries ↓ 33%

Annex F

Mail Message

N

Close Delete From This Mailbox Delete From All Mailboxes Forward Reply to Sender Reply All Move Delete Read Later Properties ..
[Print View](#)

From:

To:

CC:

Date: Wednesday - June 14, 2006 7:38 PM
Subject: ACTION REQUIRED NLT Monday, 6/19/06 @ 1000 hours
NU Overtime Reporting.xls (15872 bytes) [View](#) [Open](#) [Save As](#)

ACTION REQUIRED NLT Monday, 6/19/06 @ 1000 hours. Please see reporting requirements below.

First, I would like to thank you for your patience with the overtime reporting required over the last few weeks and the events that lead to the need to expend such a large amount of overtime in such a short period. It's almost over, so please bare with me.

We have completed the reporting on the uniformed nonreimbursable overtime expenditures, and thanks to your reporting, I can confidently say that we have, as of June 12th, over \$394,000 left to spend by June 30, 2006. Your uniformed employees did an excellent job of using up the overtime, spending nearly \$943,000 since May 14th. Now we are counting on the nonuniformed employees to make a dent.

has granted approval for every nonuniformed employee under Valley Division to use as much paid overtime as they want between now and June 30th. Requests to use the overtime are not required, but we still need to track what is being used in the unlikely event we get close to exceeding our allocation.

To assist in tracking, please use the spreadsheet attached below. It is the same as the one previously provided, but a column has been added for the PSD I and MCS I classifications. If you have a nonuniformed employee whose classification is not listed, please list their overtime hours under the classification closest in salary.

Please report all nonuniformed nonreimbursable paid overtime hours expended by your Area/Unit in the appropriate column for the weeks listed. Please e-mail me the spreadsheet with reporting for the weeks of June 1-3, June 4-10, and June 11-17, by 1000 hours on Monday, June 19th. The report for the June 18-24th overtime expenditures is due on June 26th @ 1000 hours, and the report for the June 25-30th overtime expenditures is due on July 3rd @ 1000 hours.

If you have any questions regarding the reporting, please e-mail or call me. Thank you in advance for continued patience and cooperation.

Thank you,

Staff Services Analyst
Valley Division
(916) 464-2090, ext. 4047
(916) 464-2097, fax

[illegible][illegible]

ANNEX G

NR 05/06 Allocations

Uniformed	\$4,890,122.00
Non-Uniformed	\$824,713.00

Additional Allocations

1st	\$78,100.00
2nd	\$85,100.00

Expenditures

Uniformed	\$5,409,208.80
Non-uniformed	\$898,734.20

SPC 600 Expenditures (Estimate *)

PSD	\$225,942.75
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SPC 551 Expenditures (Estimate *)

Hurricane Katrina	\$483,051.28
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Allocations	\$5,878,035.00
Expenditures	<u>\$6,307,943.00</u>
Overage	-\$429,908.00
SPC 600	\$225,942.75
Returned	-\$203,965.25
SPC 551	\$483,051.28
Final Returned	\$279,086.03

* \$ amount estimated based on hours and average overtime salary rate used in FY 05-06

ANNEX H

VALLEY DIVISION
05/06 FISCAL YEAR
OVERTIME ALLOCATIONS

05/06 FISCAL YEAR
OVERTIME ALLOCATIONS
SPREADSHEET, UNIFORMED

UNIFORMED FLSA WORK PERIOD (13) ALLOCATION					
AREA	WORK PERIOD HOURS	WORK PERIOD DOLLARS (ROUNDED)	ANNUAL HOURS	ANNUAL ALLOCATION	% OF DIV ALLOC
201 - DIVISION	480	\$22,570	6,243	\$293,407	6.0
214 - SAC CC	88	\$4,138	1,144	\$53,791	1.1
220 - AUBURN	456	\$21,441	5,931	\$278,737	5.7
221 - GOLD RUN	208	\$9,780	2,705	\$127,143	2.6
222 - TRUCKEE	264	\$12,413	3,433	\$161,374	3.3
223 - DPIF	80	\$3,762	1,040	\$48,901	1.0
230 - GRASS VALLEY	184	\$8,652	2,393	\$112,473	2.3
240 - OROVILLE	184	\$8,652	2,393	\$112,473	2.3
241- CHICO	216	\$10,156	2,809	\$132,033	2.7
245 - PLACERVILLE	376	\$17,680	4,890	\$229,836	4.7
246 - S. LAKE TAHOE	160	\$7,523	2,081	\$97,802	2.0
250 - NO. SAC	1,249	\$58,681	16,231	\$762,859	15.6
252 - SO. SAC	1,144	\$53,791	14,878	\$699,287	14.3
255 - SAN ANDREAS	160	\$7,523	2,081	\$97,802	2.0
265 - STOCKTON	720	\$33,855	9,364	\$440,111	9.0
266 - TRACY	256	\$12,037	3,329	\$156,484	3.2
280 - WOODLAND	304	\$14,294	3,954	\$185,825	3.8
285 - YUBA SUTTER	320	\$15,047	4,162	\$195,605	4.0
295 - AMADOR	168	\$7,899	2,185	\$102,693	2.1
SUBTOTAL	7,019	329,895	91,248	\$4,288,637	87.7
RESERVE	984	\$46,268	12,798	\$601,485	12.3
DIVISION ALLOCATION				\$4,890,122	100.0

STATEWIDE AVG SALARY RATE= \$51.00
UNIFORMED MAIT ALLOCATION = \$75,875.00
UNIFORMED HOV ALLOCATION = \$29,000.00

1488
569

\$4,890,122

95,885 hours

\$3,729,671

VALLEY DIVISION
05/06 FISCAL YEAR
OVERTIME ALLOCATIONS...

FY 05-06 NON-REIMB..
OVERTIME ALLOCATION..
SPREADSHEET, NON-UNIF.

NON-UNIFORMED MONTHLY (12) ALLOCATION					
AREA	PAY PERIOD HOURS	PAY PERIOD DOLLARS (ROUNDED)	ANNUAL HOURS	ANNUAL ALLOCATION	% OF DIV ALLOQ
201 - DIVISION	74	\$2,062	884	\$24,741	3.00
214 - SAC OC	1,154	\$32,301	13,843	\$387,615	47.00
220 - AUBURN				\$0	0.00
221 - GOLD RUN				\$0	0.00
222 - TRUCKEE	196	\$5,498	2,356	\$65,977	8.00
223 - DPIF	98	\$2,749	1,178	\$32,989	4.00
230 - GRASS VALLEY				\$0	0.00
240 - OROVILLE				\$0	0.00
241 - CHICO	196	\$5,498	2,356	\$65,977	8.00
245 - PLACERVILLE				\$0	0.00
246 - SO. LAKE TAHOE				\$0	0.00
250 - NO. SAC				\$0	0.00
252 - SO. SAC				\$0	0.00
255 - SAN ANDRAS				\$0	0.00
265 - STOCKTON	196	\$5,498	2,356	\$65,977	8.00
266 - TRACY				\$0	0.00
280 - WOODLAND				\$0	0.00
285 - YUBA SUTTER				\$0	0.00
295- AMADOR				\$0	0.00
SUBTOTAL	1,915	\$53,606	22,974	\$643,276	78.00
RESERVE 22%	540	\$15,120	6,480	\$181,437	22.00
DIVISION ALLOCATION				\$824,713	1.00

DIVISION ALLOCATION - \$704,484

STATEWIDE AVG SALARY RATE= \$28.00

NON-UNIF MAIT ALLOCATION = \$8,200.00

293

NON-UNIF HOV ALLOCATION = \$2,910.00

104

\$824,713

29,454 hours

\$704,484

17.07% Increase over 04/05

Y 2005 / 06

WP # 1

For FY

Division #
200

	NR Annual Allocations		NR Work Period Allocations		NR Y-T-D Allocations		Total HOV / Code 86		Total MAIT / Code 126		Total DUI / Code 52		Total Code 95 (charged to Division)		FLSA OT	
	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$	Hours	\$\$\$
201 / Valley	5753.08	\$293,407.00	442.54	\$22,570.00	442.54	\$22,570.00										
214 / Sac Comm	1054.73	\$53,791.00	81.13	\$4,137.77	81.13	\$4,137.77										
220 / Auburn	5465.43	\$278,737.00	420.42	\$21,441.31	420.42	\$21,441.31										
221 / Gold Run	2493.00	\$127,143.00	191.77	\$9,780.23	191.77	\$9,780.23										
222 / Truckee	3164.20	\$161,374.00	243.40	\$12,413.38	243.40	\$12,413.38										
223 / Donner IF	958.84	\$48,901.00	73.76	\$3,761.62	73.76	\$3,761.62										
230 / Grass Valley	2205.35	\$112,473.00	169.64	\$8,651.77	169.64	\$8,651.77										
240 / Oroville	2205.35	\$112,473.00	169.64	\$8,651.77	169.64	\$8,651.77										
241 / Chico	2588.88	\$132,033.00	199.14	\$10,156.38	199.14	\$10,156.38										
245 / Placerville	4506.59	\$229,836.00	346.66	\$17,679.69	346.66	\$17,679.69										
246 / South Tahoe	1917.69	\$97,802.00	147.51	\$7,523.23	147.51	\$7,523.23										
250 / North Sac	14958.02	\$762,859.00	1150.62	\$58,681.46	1150.62	\$58,681.46										
252 / South Sac	13711.51	\$699,287.00	1054.73	\$53,791.31	1054.73	\$53,791.31										
255 / San Andreas	1917.69	\$97,802.00	147.51	\$7,523.23	147.51	\$7,523.23										
265 / Stockton	8629.63	\$440,111.00	663.82	\$33,854.69	663.82	\$33,854.69										
266 / Tracy	3068.31	\$156,484.00	236.02	\$12,037.23	236.02	\$12,037.23										
280 / Woodland	3643.63	\$185,825.00	280.28	\$14,294.23	280.28	\$14,294.23										
285 / Yuba-Sutter	3835.39	\$195,605.00	295.03	\$15,046.54	295.03	\$15,046.54										
295 / Amador	2013.59	\$102,693.00	154.89	\$7,899.46	154.89	\$7,899.46										
TOTALS	84090.90	\$4,288,636.00	6468.53	\$328,895.31	6468.53	\$328,895.31										
	NR Annual Allocations		NR Work Period Allocations		NR Y-T-D Allocations		Total HOV / Code 86		Total MAIT / Code 126		Total DUI / Code 52		Total Code 95 (charged to Division)		FLSA OT	

Division #	Month NR Paid		HIOV / Code 86		MAIT / Code 126		NR Annual Allocations		NR Month Allocations		NR Y-T-D Allocations		Month + or -		NR Y-T-D Used		NR Y-T-D + or -	
	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS	Hours	SSS
90																		
91																		
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NOT FOLD
OVERTIME REPORT
(RESERVE NOT
LISTED ANYWHERE)
NON-UNIFORM

New Division

Uniform

Area Entry	Formula	Division Entry

Hidden columns

SSS	Annual Allocation SSS			Area Plus Adjust	Area Minus Adjust	Average Salary
	Work Period Allocation	NR SSS WFORR Paid (Inc 95)	Y-T-D Allocation			
13 - July 10	\$22,569.77					\$51.00
11 - August 7	\$45,139.54					
01 - Sept 4	\$67,709.31					
01 - Oct 2	\$90,279.08					
01 - Oct 30	\$112,848.85					
31 - Nov 27	\$135,418.62					
28 - Dec 25	\$157,988.38					
23 - Jan 22	\$180,558.15					
23 - Feb 19	\$203,127.92					
19 - March 19	\$225,697.69					
13 - April 16	\$248,267.46					
11 - May 14	\$270,837.23					
13 - June 11	\$293,407.00					
Totals	\$293,407.00					
Hours	442.54					
11 - August 7	885.09					
01 - Sept 4	1327.63					
01 - Oct 2	1770.18					
01 - Oct 30	2212.72					
31 - Nov 27	2655.27					
28 - Dec 25	3097.81					
23 - Jan 22	3540.36					
23 - Feb 19	3982.90					
19 - March 19	4425.44					
13 - April 16	4867.99					
11 - May 14	5310.53					
13 - June 11	5753.08					
Totals						

Annual Allocation Hour		84-85		85-86		86-87		87-88		88-89		89-90		90-91		91-92		92-93		93-94		94-95		95-96		96-97		97-98		98-99		99-00		00-01		01-02		02-03		03-04		04-05		05-06		06-07		07-08		08-09		09-10		10-11		11-12		12-13		13-14		14-15		15-16		16-17		17-18		18-19		19-20		20-21		21-22		22-23		23-24		24-25		25-26		26-27		27-28		28-29		29-30		30-31		31-32		32-33		33-34		34-35		35-36		36-37		37-38		38-39		39-40		40-41		41-42		42-43		43-44		44-45		45-46		46-47		47-48		48-49		49-50		50-51		51-52		52-53		53-54		54-55		55-56		56-57		57-58		58-59		59-60		60-61		61-62		62-63		63-64		64-65		65-66		66-67		67-68		68-69		69-70		70-71		71-72		72-73		73-74		74-75		75-76		76-77		77-78		78-79		79-80		80-81		81-82		82-83		83-84		84-85		85-86		86-87		87-88		88-89		89-90		90-91		91-92		92-93		93-94		94-95		95-96		96-97		97-98		98-99		99-00		00-01		01-02		02-03		03-04		04-05		05-06		06-07		07-08		08-09		09-10		10-11		11-12		12-13		13-14		14-15		15-16		16-17		17-18		18-19		19-20		20-21		21-22		22-23		23-24		24-25		25-26		26-27		27-28		28-29		29-30		30-31		31-32		32-33		33-34		34-35		35-36		36-37		37-38		38-39		39-40		40-41		41-42		42-43		43-44		44-45		45-46		46-47		47-48		48-49		49-50		50-51		51-52		52-53		53-54		54-55		55-56		56-57		57-58		58-59		59-60		60-61		61-62		62-63		63-64		64-65		65-66		66-67		67-68		68-69		69-70		70-71		71-72		72-73		73-74		74-75		75-76		76-77		77-78		78-79		79-80		80-81		81-82		82-83		83-84		84-85		85-86		86-87		87-88		88-89		89-90		90-91		91-92		92-93		93-94		94-95		95-96		96-97		97-98		98-99		99-00		00-01		01-02		02-03		03-04		04-05		05-06		06-07		07-08		08-09		09-10		10-11		11-12		12-13		13-14		14-15		15-16		16-17		17-18		18-19		19-20		20-21		21-22		22-23		23-24		24-25		25-26		26-27		27-28		28-29		29-30		30-31		31-32		32-33		33-34		34-35		35-36		36-37		37-38		38-39		39-40		40-41		41-42		42-43		43-44		44-45		45-46		46-47		47-48		48-49		49-50		50-51		51-52		52-53		53-54		54-55		55-56		56-57		57-58		58-59		59-60		60-61		61-62		62-63		63-64		64-65		65-66		66-67		67-68		68-69		69-70		70-71		71-72		72-73		73-74		74-75	
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† Division Pool Hours are nonreimbursable to Valley Division.

Annual Allocation SSS					
Month Allocation		Monthly Total		Total	
VPP Month	VPP Allocations	Reimbursable - Utilized	Month Reimbursable - Utilized	Total Reimbursable - Utilized	Total Available Over-time
1	Jul	\$2,061.75	\$0.00	\$2,061.75	\$0.00
2	Aug	\$4,123.50	\$0.00	\$2,061.75	\$0.00
3	Sep	\$6,185.25	\$0.00	\$4,123.50	\$0.00
4	Oct	\$8,247.00	\$0.00	\$6,185.25	\$0.00
5	Nov	\$10,308.75	\$0.00	\$8,247.00	\$0.00
6	Dec	\$12,370.50	\$0.00	\$10,308.75	\$0.00
7	Jan	\$14,432.25	\$0.00	\$12,370.50	\$0.00
8	Feb	\$16,494.00	\$0.00	\$14,432.25	\$0.00
9	Mar	\$18,555.75	\$0.00	\$16,494.00	\$0.00
10	Apr	\$20,617.50	\$0.00	\$18,555.75	\$0.00
11	May	\$22,679.25	\$0.00	\$20,617.50	\$0.00
12	Jun	\$24,741.00	\$0.00	\$22,679.25	\$0.00
Totals		\$254,741.00	\$0.00	\$254,741.00	\$0.00

COMMENTS:

DIVISION
OVERTIME REPORT
(RESERVE NOT
LISTED ANYWHERE)
NON-UNIFORMED

Area Entry:	.
Formula:	..
Division Entry:	..

UNIFORMED

It is the recommendation of the Valley Division explaining work period coverage.

Page 1 of 1

Annual Hours Allocation *	3295.771.00
Annual Hours Allocation *	9,448.75

Notes

Adjusted for SPC 600

Adjusted for SPC 600	
Allocation	9,448.75
Y-T-D Expended	2,080.08
Remaining Balance	7,368.67
% Remaining	78%

Orange = 15% or Less of Allocation Remaining
Red = Over Allocation

Dollars

Summary of Dollars

Artinetsed for CDCT

Allocation	\$595,271.00
Y-T-D Expended	\$111,199.15
Remaining Balance	\$484,071.86
% Remaining	81%

Red 43

Orange = 15% or Less of Allocation Remaining
Red = Over Allocation

210 - MONTH Sacramento

Annual \$ Allocation	\$42,859.00
Annual Hours Allocation *	1,071.48

* Hours are only an estimate and are based on an average hourly overtime salary rate of \$40.00

Pay Period \$ Allocation	\$3,571.58
Pay Period Hours Allocation *	89.29

Formula Area Entry	
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\$40.00

Reimbursable
Overtime

Hours

W/P #	Month	Y-T-D Hours Allocation	Total Month Paid Hours	Total Month Reimb. Hours	Total Month NR Hours	Month Hours	Total Y-T-D NR Hours	Y-T-D Hours	Grant Project #
1	July	89.29	27.00	0.00	0.00	-89.29	0.00	-89.29	27.00
2	August	178.58	52.75	19.25	33.50	-55.79	33.50	-145.08	19.25
3	September	367.87	0.00	0.00	0.00	-89.29	33.50	-234.37	0.00
4	October	357.16	0.00	0.00	0.00	-89.29	33.50	-323.66	0.00
5	November	446.45	0.00	0.00	0.00	-89.29	33.50	-412.05	0.00
6	December	555.74	0.00	0.00	0.00	-89.29	33.50	-502.24	0.00
7	January	625.03	0.00	0.00	0.00	-89.29	33.50	-591.53	0.00
8	February	714.32	0.00	0.00	0.00	-89.29	33.50	-680.82	0.00
9	March	803.61	0.00	0.00	0.00	-89.29	33.50	-770.11	0.00
10	April	892.90	0.00	0.00	0.00	-89.29	33.50	-859.40	0.00
11	May	982.19	0.00	0.00	0.00	-89.29	33.50	-948.69	0.00
12	June	1,071.48	0.00	0.00	0.00	-89.29	33.50	-1,037.98	0.00
Summary of Hours									
Allocation		1,071.48							
Y-T-D Expended		33.50							
Remaining Balance		1,037.98							
% Remaining		97%							

* Budget = 15% or Less of Allocation Remaining
Red = Over Allocation

Dollars **

W/P #	Month	Y-T-D \$ Allocation	Total Month Paid \$	Total Month Reimb. \$	Total Month NR \$	Month \$	Total Y-T-D NR \$	Y-T-D \$
1	July	\$3,571.58	\$1,080.00	\$0.00	\$0.00	-\$3,571.58	\$0.00	-\$3,571.58
2	August	\$7,143.17	\$2,110.00	\$770.00	\$1,340.00	-\$2,231.58	\$1,340.00	-\$5,803.17
3	September	\$10,714.75	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$9,374.75
4	October	\$14,286.33	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$12,946.33
5	November	\$17,857.92	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$16,517.92
6	December	\$21,429.50	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$20,089.50
7	January	\$25,001.08	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$23,661.08
8	February	\$28,572.67	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$27,232.67
9	March	\$32,144.25	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$30,804.25
10	April	\$35,715.83	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$34,375.83
11	May	\$39,287.42	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$37,947.42
12	June	\$42,859.00	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$41,519.00
Summary of Dollars								
Allocation		\$42,859.00						
Y-T-D Expended		\$1,340.00						
Remaining Balance		\$41,519.00						
% Remaining		97%						

* Budget = 15% or Less of Allocation Remaining
Red = Over Allocation

** Due to unavailability of individual non-uniformed overtime salary rates, expenditures are based on an average non-uniformed overtime salary rate of \$40.00 per hour.

*** Red font and positive number on Month Hours + or - column requires submission of a memorandum to Valley Division explaining pay period overage.

It is the responsibility of the commander or designee to ensure the funds described in this document are used in accordance with CHP policy and procedures.

VALLEY DIVISION
12.2.05 REPORT
FOR PREP
10/2/2005

230 - North Sacramento

Annual \$ Allocation	\$42,859.00
Annual Hours Allocation *	1,071.48

* Hours are only an estimate and are based on an average hourly overtime salary rate of \$40.00

Pay Period \$ Allocation	\$3,571.58
Pay Period Hours Allocation *	89.29

Formula Area Entry	
--------------------	--

\$40.00

Reimbursable
Overtime

HOURS

W/P #	Month	Y-T-D Hours Allocation	Total Month Paid Hours	Total Month Reimb. Hours	Total Month -NR Hours	Month Hours +, - or -	Total Y-T-D -NR Hours	Y-T-D Hours +, - or -	Grant Project # SPC Classification
1	July	89.29	27.00	27.00	0.00	-89.29	0.00	-89.29	21.00
2	August	178.58	52.75	19.25	33.50	-55.79	33.50	-145.08	19.25
3	September	267.87	0.00	0.00	0.00	-89.29	33.50	-234.37	0.00
4	October	357.16	0.00	0.00	0.00	-89.29	33.50	-323.66	0.00
5	November	446.45	0.00	0.00	0.00	-89.29	33.50	-412.95	0.00
6	December	535.74	0.00	0.00	0.00	-89.29	33.50	-502.24	0.00
7	January	625.03	0.00	0.00	0.00	-89.29	33.50	-591.53	0.00
8	February	714.32	0.00	0.00	0.00	-89.29	33.50	-680.82	0.00
9	March	803.61	0.00	0.00	0.00	-89.29	33.50	-770.11	0.00
10	April	892.90	0.00	0.00	0.00	-89.29	33.50	-859.40	0.00
11	May	982.19	0.00	0.00	0.00	-89.29	33.50	-948.69	0.00
12	June	1,071.48	0.00	0.00	0.00	-89.29	33.50	-1,037.98	0.00
Totals									

Summary of Hours

Allocation	1,071.48
Y-T-D Expended	33.50
Remaining Balance	1,037.98
% Remaining	97%

Orange = 15% or Less of Allocation Remaining
Red = Over Allocation

Dollars **

W/P #	Month	Y-T-D \$\$\$ Allocation	Total Month Paid \$\$\$	Total Month Reimb. \$\$\$	Total Month -NR \$\$\$	Month \$\$\$ +, - or -	Total Y-T-D -NR \$\$\$	Y-T-D \$\$\$ +, - or -
1	July	\$3,571.58	\$1,080.00	\$1,080.00	\$0.00	-\$3,571.58	\$0.00	-\$3,571.58
2	August	\$7,143.17	\$2,110.00	\$770.00	\$1,340.00	-\$2,231.58	\$1,340.00	-\$5,803.17
3	September	\$10,714.75	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$9,374.75
4	October	\$14,286.33	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$12,946.33
5	November	\$17,857.92	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$16,517.92
6	December	\$21,429.50	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$20,089.50
7	January	\$25,001.08	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$23,661.08
8	February	\$28,572.67	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$27,232.67
9	March	\$32,144.25	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$30,804.25
10	April	\$35,715.83	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$34,375.83
11	May	\$39,287.42	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$37,947.42
12	June	\$42,859.00	\$0.00	\$0.00	\$0.00	-\$3,571.58	\$1,340.00	-\$41,519.00

Summary of Dollars

Allocation	\$42,859.00
Y-T-D Expended	\$1,340.00
Remaining Balance	\$41,519.00
% Remaining	97%

Orange = 15% or Less of Allocation Remaining
Red = Over Allocation

** Due to unavailability of individual non-uniformed overtime salary rates, expenditures are based on an average non-uniformed overtime salary rate of \$40.00 per hour.

*** Red font and positive number on Month Hours + or - column requires submission of a memorandum to Valley Division explaining pay period overage.

It is the responsibility of the commander or designee to ensure the funds described in this document are used in accordance with CHP policy and procedures.

VALLEY DIVISION
MEMO REPORT
FOR PREP
10/22/2005

1. 1980年，
 2. 1981年，
 3. 1982年，
 4. 1983年。

Uniformed Overtime Adjustments

Additions *

deletions *

	Hours	\$\$\$
	Adjustments	Adjustments
ments Total	8.00	\$421.00

* A corrected CHP 415 must be submitted to Division for approval before adjustments can be listed.
For reimbursable overtime adjustments, a corrected reconciliation report must accompany the corrected CHP 415.

WP #1 Adj

FY 2006/2007

Uniformed Overtime Adjustments

North Sacramento

Notes

Cancellation Fees: Enter \$50.00 for Overtime Salary Rate and 1.00 hour under the appropriate column (NR Hours or Raimb. Hours) for court cancellations or 24 hour reimbursable service cancellations.

SPC 126 (MAIT): MAIT hours are no longer reimbursable, so SPC 126 has been changed to a nonreimbursable code. Consequently, when a MAIT Associate uses SPC 126, the hours will be charged against your Area nonreimbursable overtime budget. MAIT hours should be charged to Division, so adjustments must be made for each work period SPC 126 is used, deleting the hours from your Area. The hours will then be added to the Division overtime report.

SPC 86 (HOV): HOV hours are no longer reimbursable, so SPC 86 has been changed to a nonreimbursable code. Consequently, when SPC 86 is used, the hours will be charged against your Area nonreimbursable overtime budget. HOV hours should be charged to Division, so adjustments must be made for each work period SPC 86 is used, deleting the hours from your Area. The hours will then be added to the Division overtime report.

Warrant Service Team, Honor Guard, and Critical Incident Investigation Team Details: The SPCs for these details are nonreimbursable codes. Consequently, when these SPCs are used, the hours will be charged against your Area nonreimbursable overtime budget. However, these hours should be charged to Division, so adjustments must be made for each work period these SPCs are used, deleting the hours from your Area. The hours will then be added to the Division overtime report.

	Formula
	Area Entry

WP #1 SPC 600

FY 2006/2007

SPC 600 - Protective Services Details

250 - North Sacramento

NEW OT REPORT
SAC GOOD TRAINING
AND ADJUSTMENT.
GREAT FOR
UNIFORMED

Name	SPC 600 Hours	Overtime Salary Rate	SPC 600 Paid
	4.00	\$50.66	\$202.64
	6.75	\$55.25	\$372.94
	4.00	\$53.08	\$212.32
	95.25	\$52.11	\$4,963.48
	8.00	\$52.98	\$423.84
	10.00	\$53.12	\$531.20
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
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			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
Total	128.00		\$6,706.42

Notes

SPC 600 - Protective Services Details (PSD): PSD hours are nonreimbursable, so when an employee works paid overtime under SPC 600 the hours will be charged against your Area nonreimbursable overtime budget. However, AC, Field has set aside a separate overtime allocation for SPC 600 and has requested these hours be tracked each work period. While SPC 600 paid overtime will not be counted against your Area, it will remain in your nonreimbursable paid overtime expenditures for the purpose of the AC, Field overtime report.

	Formula
	Area Entry

INSTRUCTIONS

Instructions for Using the Uniformed Paid Overtime Spreadsheet

Click on the worksheet tab for the appropriate FLSA period.
Review each CHP 415 for the FLSA period and enter information on the spreadsheet for only those CHP 415s with paid overtime.

Date - enter the date from the CHP 415.

Name - enter the last name. Be sure the name is entered the same each time to ensure all entries come up when filtering.

ID # - enter the employee's ID # (no extra 0s at the beginning). Be sure the ID # is entered the same each time to ensure all entries come up when filtering.

Classification - enter the employee's classification (i.e., Officer or Sergeant). This is helpful when filtering for grant information.

SPC - enter the Special Project Code (SPC) from the CHP 415, or if there is nothing in the Special box enter "NR" for nonreimbursable overtime. This will differentiate between whether the overtime was nonreimbursable or if the column was accidentally skipped.

OT Duty Code - enter the Overtime Duty Code from the CHP 415. If there is more than one Overtime Duty Code for paid overtime listed on the CHP 415 e.g., there is a two-digit Overtime Duty Code and a second Overtime Duty Code of "RP", "CB", or "CC"), enter one row of information for each Overtime Duty Code listed. Be sure to enter the SPC on each row.

Example:

CHP 415

4. Overtime			
Duty Code	Hrs	Pay	Min
10	1		30
RP	2		30

Spreadsheet

Date	Name	ID #	SPC	OT Duty Code	Hours
7/1/2006	Abc	12345	803	10	1.50
7/2/2006	Abc	12345	803	RP	2.50

Hours - enter the paid overtime hours for the Overtime Duty Code from the CHP 415.

Hourly Rate - enter overtime salary rate of employee from WPORR when it becomes available.

Paid OT - this column contains a formula that multiplies the hours by the overtime salary rate to calculate the paid overtime.

Created by

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10/2/2006

AREA PROVIDED
SORT/FILTER
FRIENDLY
OVERTIME
TRACKING
SHEET FOR
UNIFORMED

Instructions

Beginning Mileage & Ending Mileage - complete this column only if the employee worked Cozeep (SPC 801 - 812) or Mazeep (SPC 301 - 312). If it was Cozeep or Mazeep overtime, check the back of the CHP 415 to see if beginning and ending mileage was listed and enter it into the appropriate column. Skip the *Total Special Mileage* column if you fill in these columns because it has a formula that automatically calculates the total mileage. If there is nothing on the back of the CHP 415 for Cozeep or Mazeep then skip these columns and manually enter the total mileage in the *Total Special Mileage* column.

Total Special Mileage - enter only mileage listed in the Miles Driven Special box of the CHP 415. Do not enter Regular mileage. Skip this column if you filled in the *Beginning Mileage* and *Ending Mileage* columns for Cozeep or Mazeep because it has a formula that automatically calculates the total mileage. Also, if there is no SPC on the CHP 415, but the Miles Driven Special box is filled in, enter the mileage. This will alert you to the possibility the employee forgot to enter a SPC on the CHP 415.

Notes - use this box for notes, such as when a CHP 415 correction is needed and when it was completed. Be sure to update spreadsheet entries when a CHP 415 correction is completed.

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[illegible]

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Instructions

Instructions for Using the Non-uniformed Paid Overtime Spreadsheet

Click on the worksheet tab for the appropriate pay period.

Review each CHP 71 for the pay period and enter information on the spreadsheet for only those CHP 71s with paid overtime.

Month - enter the month from the CHP 71.

Name - enter the last name. Be sure the name is entered the same each time to ensure all entries come up when filtering.

ID # - enter the employee's ID #. Be sure the ID # is entered the same each time to ensure all entries come up when filtering.

CBID - enter the employee's CBID (i.e., "R01" for SSA; "R04" for OA, WPT, or OT; "S07" for PSDS I). This is helpful when filtering for grant information.

SPC - enter one row for each type of Special Project Code (SPC) or grant project number worked by the employee. For paid overtime where there is nothing in the "Remarks" column or the remarks refer to bargaining unit specific nonreimbursable overtime (e.g., "NB" for the 30 minutes paid overtime earned when both breaks must be missed, or when Holiday Compensation is paid for working on a holiday) enter "NR" for nonreimbursable overtime. This will differentiate between whether the overtime was nonreimbursable or if the SPC column was accidentally skipped. If there is more than one description of nonreimbursable paid overtime listed in the "Remarks" column of the CHP 71 (e.g., there is non-specific nonreimbursable overtime and bargaining unit specific nonreimbursable overtime), enter each on a separate row.

Hours - enter the total paid overtime hours for the SPC, grant project number, or nonreimbursable overtime listed in the previous column.

Hourly Rate - enter overtime salary rate of employee if it is available, or enter top step overtime salary rate for employee's classification.

Paid OT - this column contains a formula that multiplies the hours by the overtime salary rate to calculate the paid overtime.

Notes - use this box to list details of nonreimbursable overtime entries, (i.e., "NB" for no breaks or "HC" for Holiday Compensation) or when a CHP 71 correction is needed and when it was completed. Be sure to update spreadsheet entries when a CHP 71 correction is completed.

Example:

CHP 71

Paid OT	Remarks
3.00	SPC 441 / NB
5.00	SPC 441

Spreadsheet

Date	Name	ID #	CBID	SPC	Hours	Notes
August	Abc	A1234	R07	441	7.50	
August	Abc	A1234	R07	NR	0.50	NB

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FINCH
SORT/FILTER
FREEMOBY
OVERTIME
TRACKING SHEET
FOR NON-UNIFORMED

10/2/2006

התנועה

Total FY 06-07

[illegible]

SAMPLE OF
NEW GRANT
TRACKING
SPREADSHEET
FOR INDIVIDUAL
AREAS/UNITS

10/22/06

AL0646		AL0646	
Grant	Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program	Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program	Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program
Activity Description	Sobriety Checkpoints	Sobriety Checkpoints	Sobriety Checkpoints
Classification	469	469	469
Fiscal Year	FFY 1	FFY 1	FFY 1
FFY 1 - Allocation	0.00	0.00	0.00
FFY 1 - Hours Used	0	0.00	0.00
FFY 1 - % Remaining	100%	100%	100%
Overall % Remaining	100%	100%	100%

PT0619		PT0619	
Grant	California Patrol-Air Consolidated Enforcement (PACE) Speeders - Element One	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element One	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element One
Activity Description	State Highway Enforcement	State Highway Enforcement	State Highway Enforcement
Classification	430	430	430
Fiscal Year	FFY 1	FFY 1	FFY 1
FFY 1 - Allocation	75.00	75.00	75.00
FFY 1 - Hours Used	75.00	75.00	75.00
FFY 1 - % Remaining	100%	100%	100%
Overall % Remaining	100%	100%	100%

PT0619		PT0619	
Grant	California Patrol-Air Consolidated Enforcement (PACE) Speeders - Element Two	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element Two	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element Two
Activity Description	County Road Enforcement	County Road Enforcement	County Road Enforcement
Classification	441	441	441
Fiscal Year	FFY 1	FFY 1	FFY 1
FFY 1 - Allocation	651.50	651.50	651.50
FFY 1 - Hours Used	651.50	651.50	651.50
FFY 1 - % Remaining	100%	100%	100%
Overall % Remaining	100%	100%	100%

MC0601		MC0601	
Grant	Be on the Lookout for Motorcyclists (BOL)	Be on the Lookout for Motorcyclists (BOL)	Be on the Lookout for Motorcyclists (BOL)
Activity Description	Motorcycle Enforcement	Motorcycle Enforcement	Motorcycle Enforcement
Classification	278	278	278
Fiscal Year	FFY 1	FFY 1	FFY 1
FFY 1 - Allocation	75.00	75.00	75.00
FFY 1 - Hours Used	75.00	75.00	75.00
FFY 1 - % Remaining	100%	100%	100%
Overall % Remaining	100%	100%	100%

UNIQUE OF
NEW GRANT
TRACKING
SPREADSHEET
THAT UPDATES
AUTOMATICALLY
BASED ON CHANGES
TO AREA SHEETS:

10/2/2005

Grant	AL0646	Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program	AL0646	Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program
Activity Description	SPC	Sobriety Checkpoints	Sobriety Checkpoints	Proactive Roving DUI Patrol Operations
Classification		469	469	470
Fiscal Year		FFY 1	FFY 1	FFY 1
FFY 1 - Division Allocation		10	480.00	2750.00
FFY 1 - Assigned Allocation				2750.00
FFY 1 - Hours Used				310.00
FFY 1 - Hours Remaining				310.00
FFY 1 - % Remaining				100%
Overall % Remaining				100%

Grant	PT0619	California Patrol-Air Consolidated Enforcement (PACE) Speeders - Element One	PT0619	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element One
Activity Description	SPC	State Highway Enforcement	430	State Highway Enforcement
Classification		430	430	430
Fiscal Year		FFY 1	FFY 1	FFY 1
FFY 1 - Division Allocation		1197.00	1197.00	1197.00
FFY 1 - Assigned Allocation				119.00
FFY 1 - Hours Used				119.00
FFY 1 - Hours Remaining				119.00
FFY 1 - % Remaining				100%
Overall % Remaining				100%

Grant	PT0619	California Patrol-Air Consolidated Enforcement (PACE) Speeders - Element Two	PT0619	California Patrol-Air Consolidated Enforcement (PACE) Speeders Element Two
Activity Description	SPC	County Road Enforcement	441	County Road Enforcement
Classification		441	441	441
Fiscal Year		FFY 1	FFY 1	FFY 1
FFY 1 - Division Allocation		3921.00	3921.00	3921.00
FFY 1 - Assigned Allocation				124.00
FFY 1 - Hours Used				124.00
FFY 1 - Hours Remaining				124.00
FFY 1 - % Remaining				100%
Overall % Remaining				100%

Grant	MC0601	Be on the Lookout for Motorcyclists (BOL)	MC0601	Be on the Lookout for Motorcyclists (BOL)
Activity Description	SPC	Motorcycle Enforcement	278	Motorcycle Enforcement
Classification		278	278	278
Fiscal Year		FFY 1	FFY 1	FFY 1
FFY 1 - Division Allocation		1027.00	1027.00	1027.00
FFY 1 - Assigned Allocation				46.00
FFY 1 - Hours Used				46.00
FFY 1 - Hours Remaining				46.00
FFY 1 - % Remaining				100%
Overall % Remaining				100%

AL0646 Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program				AL0646 Statewide Enforcement and Education Operations Targeting DUI (STOP DUI) Program			
Mini DUI Task Force Operations		Mini DUI Task Force Operations		All DUI Activity		All DUI Activity	
472		472		469 / 470 / 472		469 / 470 / 472	
Number of Operations		FFY 1		Clerical Hours		PSD Hours	
FFY 1		FFY 1		FFY 1		FFY 1	
10	10	800.00	200.00	175.00	175.00	215.00	215.00
10	10	800.00	200.00	175.00	175.00	215.00	215.00
100%	100%	100%	100%	100%	100%	100%	100%

PT0619 California Patrol-Air Consolidated Enforcement (PACE) Speeders Element One				PT0619 California Patrol-Air Consolidated Enforcement (PACE) Speeders - Element One			
State Highway Enforcement		State Highway Enforcement		Unexpected Incident		Unexpected Incident	
430		430		431		431	
Clerical Hours		PSD Hours		Officer Hours		Sergeant Hours	
FFY 1		FFY 1		FFY 1		FFY 1	
71.00	71.00	71.00	16.00	394.00	394.00	38.00	38.00
71.00	71.00	71.00	16.00	394.00	394.00	38.00	38.00
100%	100%	100%	100%	100%	100%	100%	100%

TRACKING LOG
FOR DIVISION
USE

Area	Purchase Requisition Number	Supply Requisition Number	Item(s) Purchased	To Chief for approval/signature	To Purchasing/ Supply Services and copy to area	Entered into ARMS as Pending	Removed from Pending - Item(s) purchased
201	201PR0003		25 year unwraps - 7	7/19/2005	7/20/2005	8/22/2005	
201	201PR0004		15 TI	7/19/2005	7/20/2005	8/22/2005	
201	201PR0005		7100 - 30 high speed & 20 passenger	7/20/2005	7/20/2005	N/A	8/30/2005
201		7	State Fair Items - 500000 and pamphlets	8/3/2005	8/4/2005	N/A	N/A
201		8	5, 20 & 25 yr. enforcement emblems	8/10/2005	8/11/2005	N/A	N/A
201	201PR0009		7 Retirement Awards	8/15/2005	8/18/2005	8/22/2005	
201	201PR0010		2 400 Watt Power Inverters, 2 15' extension cords, 10 cases	8/24/2005	8/28/2005	8/30/2005	
201	201PR0015		Retirement Awards - 7	8/22/2005	8/29/2005	8/30/2005	

ANNEX F

AUDIT RESPONSE MATRIX

On October 6, 2006, we received and reviewed the Valley Division's response, dated September 26, 2006. The findings and corrective actions are detailed below.

CONTROL WEAKNESSES IDENTIFIED	CORRECTIVE ACTIONS TAKEN	CORRECTIVE ACTIONS TO BE TAKEN	DATE OF ACTION
Management of Overtime Funds	Refer to Annex E, pages 8-9		Most corrective actions were implemented on or about June 2005, with the last two corrective actions implemented on or about September 2006.
Improper Use of Leave Credits	Valley Division has provided Commanders with clarification on the issue to avoid similar issues in the future		Unknown -- Documentation provided to Commanders was not provided with the response.
Attendance Reporting/24 Hour Workday	Valley Division will take necessary measures to minimize errors and discrepancies in the future.		Unknown -- The cited necessary measures to minimize errors and discrepancies in the future was not provided with the response.